DOCUMENT RESUME

ED 383 156 EC 303 981

AUTHOR	Thornton, Shirley A.; Spiesberger, Bonnie
TITLE	Transforming Schools: Finding Success for Students at Risk through Systemic Change.
INSTITUTION	California State Dept. of Education, Sacramento. Div. of Special Education.; California State Univ., Sacramento.
PUB DATE	94
NOTE	182p.; Prepared by Resources in Special Education.
AVAILABLE FROM	Resources in Special Education, 650 Howe Ave., Suite 300, Sacramento, CA 95825 ($20).
PUB TYPE	Guides - Non-Classroom Use (055)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Change Agents; *Change Strategies; *Educational Change; Educational Quality; Educational Trends; Elementary Secondary Education; High Risk Students; *Models; Organizational Change; Program Development; Program Implementation; *School Based Management; School Restructuring; *Special Needs Students
IDENTIFIERS	California; *Diversity (Student)

ABSTRACT

This manual is designed to assist California school personnel to respond to the increasing diversity in student populations, with a change process based on principles of shared leadership through a decentralized site-based management method. The organization change model utilized by the pilot schools is the California Local Education Reform Network process. The first chapter provides an overview of how the nation in general, and California in particular, have responded to the pressures of change in the schools. The second chapter looks at the organizational readiness stage of needs assessment, including securing district and site leadership commitment to change, the site-based management decision to restructure, and new roles for participants. Chapter 3 focuses on the orientation stage of needs assessment and covers such aspects as selecting a site leadership team, writing a mission statement, and data collection. Risk assessment and diagnosis are the focus of the fourth chapter, which offers guidelines for analyzing the situation, obtaining technical support, and reporting to the school community. Each of the next four chapters addresses an aspect of implementing for quality achievement. The four aspects are: (1) prescription (such as organizing for planning and building consensus); (2) intervention (converting plans into action and maintaining momentum); (3) evaluation (monitoring dimensions of change and evaluating results); and (4) institutionalization (favorable conditions for institutionalization and removing institutionalization barriers). Appendices provide sample materials used in specific school districts. (Contains 47 references.)

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TRANSFORMING SCHOOLS

FINDING SUCCESS FOR STUDENTS AT RISK THROUGH SYSTEMIC CHANGE

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TRANSFORMING SCHOOLS

FINDING SUCCESS FOR STUDENTS AT RISK THROUGH SYSTEMIC CHANGE

by
Shirley A. Thornton Ed.D.
Bonnie Spiesberger, Ed.D.

California Department of Education
Specialized Programs Branch

1994

TRANSFORMING SCHOOLS

Finding Success for Students At Risk Through Systemic Change

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This document was edited and prepared by Resources in Special Education (RiSE), a special project of California State University, Sacramento, with the California Department of Education, Special Education Division.

Copies of this publication are available from: Resources in Special Education, 650 Howe Avenue, Suite 300, Sacramento, California 95825. Call 800-894-9799.

FOREWORD

by Dr. Shirley A. Thornton, Deputy Superintendent of Public Instruction

No restructuring effort will succeed without a concerted focus on students at risk of school failure. We must address the totality of the whole school community — including those children out of the mainstream — in our efforts to improve the educational system. A restructuring process that neglects the needs of California's many children of diverse cultural and linguistic backgrounds, those with disabilities, and those who are at risk will fail to improve the educational outcomes of all of California's children.

This is an exciting time in education. A spirit of optimism exists, along with a growing belief that change is possible, that we know more than ever about how different students learn, how teachers teach, and what is needed to provide a supportive learning environment within the community to make change happen. Now is the time to make a commitment and to take responsibility for successfully educating all of California's children.

We must take a bold stand now and advocate for the forgotten children of our state — those from broken or violent homes, without homes, who do not speak English, or those from diverse cultures, those incarcerated, those with disabilities — all the children and youth who have forced the educational system to rethink how it does business and whether it has been successful.

Integrating educational efforts with all agencies responsible for community and economic development increases a focused resource base for emphasizing and improving all student outcomes. *Transforming Schools: Finding Success for Students at Risk Through Systemic Change*, provides the theoretical framework, as well as the process, to accomplish this monumental task. It is founded upon the five-year experience of nearly 100 California schools.

These schools, as all California schools, have and are continuing to face negative community environments, which prevent prosperity and which foster violence, substance abuse, social deficits, loss of youth to criminal justice systems, and unwanted teenage pregnancies. They accepted the challenge to change how they operate and to promote student achievement. All schools and districts, by accepting this challenge, can enable themselves to become the leadership and the leverage point for positive community and economic revitalization.

This is a bold process that requires those in positions of power to accept responsibility for resourceful leadership. *Transforming Schools*, based on the earlier efforts of the California Local Education Reform Network (C-LERN) and the newly initiated Community and Economic Development through Student Achievement (CEDSA), provides structure, direction, and guidance to those who are leading their school communities into fundamentally new directions for the twenty-first century. The process requires patience, determination, courage, and a commitment from the entire school community — that is what is needed to create authentic changes.

Everyone in the system must accept the responsibility to become an agent of change, sharing the vision and the responsibility for quality education for all children.

PREFACE

Transforming Schools presents a dynamic process and strategy that strives to facilitate change in schools and their communities through the systematic reexamination of all aspects of education. During the development and implementation of this systems change process, the school's purpose becomes clear, its goals are declared, the barriers to change are identified and confronted, a plan for action is developed, and the resources, energy, and efforts of the entire school community are redirected to achieve the school's mission. This comprehensive approach to the transformation of a school's educational services is accomplished through a fundamental restructuring of the organization and its formal relationships, roles, programs, services, policies, and rules and its informal customs, practices, and norms.

This manual is written for school communities which have come to realize the need to improve services to all students. These schools realize that students have changed, technology has changed, and all student needs have changed, but also teachers have changed. A profile of today's California classroom often shows that less than 50% of the students reflect life styles and shared cultural experiences based on the "white, middle class" traditions. Over 52 languages and cultures combine to represent over 50% of the student population. Ethnic, linguistic, and racial differences are also reflected in this diverse population. Adding to the diversity is the move to include students with disabilities in less restrictive environments in many regular classrooms including students with physical or developmental needs.

Transforming Schools will help the school and its community understand how to respond to these significant changes. In the change process presented, members of the school community and staff, students, and parents join to accomplish the school's most important purpose: the delivery of a rich, challenging core curriculum in a supportive learning environment so that academic achievement and educational opportunity increase for all students regardless of ethnicity, race, linguistic, social, or economic differences.

Often missing in schools are the conditions that encourage creative thinking and innovation: a risk-taking climate, trust, shared vision, collaboration, agreed upon beliefs and values, and the process management skills that allow the school community to manage change effectively: facilitation, strategic planning, team building, meeting management, and conflict management. With training and time the conditions conducive to organizational change can be developed and the process skills mastered by classroom teachers, parents, the site administrator, support staff and students, all of whom must learn to work well together, respect diversity, and reach agreements on strategies to improve their school.

This is both a top-down and bottom-up change process based on the principle that shared leadership through a decentralized, site-based management method is a more effective approach to achieving school reform. The manual describes how schools organize themselves to achieve this decision-making model.

This organization change model and process are based on many of the experiences and applications first implemented as the California Local Educational Reform Network (C-LERN) process. Pilot projects implementing the C-LERN process began seven years ago in several California schools with guidance from the Specialized

Programs Branch of the Department of Education. Because a major attribute of this process is its adaptability to individual school needs and structures, the process structure itself has evolved. Although the chapters of this manual are sequenced along the lines of the original C-LERN process, important modifications and refinements are included based on the pilot projects' experiences and lessons learned.

The process presented in *Transforming Schools* is also influenced heavily by an outgrowth of school restructuring experiences of the Community and Economic Development through Student Achievement (CEDSA). This growing movement, with roots in the C-LERN process, takes the change process into the community. CEDSA forms alliances and partnerships with families, business, government, and local agencies at the very beginning of the restructuring project.

This manual may be used in its entirety or it may be read as a reference for selected chapters and specific topics. For example the first chapter, "A Structured Approach to Change," serves as a foundation for those who will initiate discussion of organizational change process in their school or district. It presents an overview of how the nation and California in particular has responded to the pressures of change in schools. Also in this chapter is a summary of the change process components and phases as they are detailed in later chapters. The question and answer format in each chapter is deliberately framed to mirror the same types of questions that were asked across the state by those who implemented the C-LERN process (principals, teachers, parents, and students) and by those facilitating the change process (superintendents and their assistants, coordinators, directors, principals) and by those setting the standards and policies of the system (school trustees).

The struggles, setbacks, and successes the pilot schools experienced are included as an integral part of this manual. They tell the story of how individuals were able to recreate their schools, restructure their school systems, and revive their dedication of purpose. This is also a study of practical and logistical considerations — the "how to make it happen" in real terms — for people who must deliver quality education to students on a daily basis while introducing visionary, innovative, far-reaching changes in their schools. These experiences have provided valuable lessons and important advice for individuals responsible for facilitating change in schools, especially those schools serving students at risk.

Transforming Schools is designed to assist school administrators, teachers, parents, site leadership team members, responsible district office personnel, change process facilitators, and anyone else in the school district actively involved, or interested in becoming involved, in the transformation of schools to meet the needs of the changing classroom. This manual will be particularly useful for principals because they are the individuals in the school system in the best position to exert immense influence on the success of local school reform efforts.

Transforming Schools is not for the fainthearted. It is for people who recognize that it is a different world and to survive in it there must be change. Most importantly, it must be recognized that successful change should be well planned, organized, and able to withstand strong scrutiny. This manual will serve as a valuable guide for schools in their systems change endeavors, helping them to bring about the needed changes in the most efficient and effective way possible.

Acknowledgments

by Bonnie Spiesberger, Ed.D.

Trying to describe a dynamic, organizational change process for transforming schools is like trying to grab hold of jello. Just when you think you've got it, something slips out of your grasp. Fortunately, for the writers, the task of developing the manual was made much easier by the collaborative efforts, assistance, and expertise of the members of the Transforming Schools Advisory Body. Many thanks to these knowledgeable educators for their suggestions and contributions:

Randy Bobby	San Juan Unified School District
Judith B. Colton	San Rafael Elementary School District
Bob Evans	California Department of Education
Mary Ann Goodwin	California Department of Education
Paul Gussman	California Department of Education
Lynn S. Hartzler	California Department of Education
Al Kinney	Marysville Joint Unified School District
Alfred S. Moore	Los Angeles Unified School District (Retired)
Flora Shaw	Compton Unified School District (Retired)
Bob Beckstead	SAGE Education
Maria Natera	Natera and Associates
Elizabeth Norwood	Compton Unified School District

Describing the complexities of processes and structures used to restructure schools continually challenges the writer to choose what to include, what to emphasize, and what to omit. A special thanks to those who provided help in meeting that challenge:

Brenda Harris whose knowledge and technical assistance in the implementation of the reform process at all levels was immeasurable.

Dr. Lynn S. Hartzler whose initial work established the manual's outline and whose view of barriers to institutionalization added greatly to Chapter 8.

Dr. Maria Natera whose interviews, data verification, and feedback comments on the manual as it was being written were invaluable.

Dr. Kent Stephens of Provo, Utah, whose technical information on Community and Economic Development through Student Achievement (CEDSA) and the diagnostic process featured in Chapter 4 furnished models of comprehensive collaborative processes for restructuring.

To the editors and staff of Resources in Special Education (RiSE), whose expertise and support is greatly appreciated: Pat Winget, Joyce Kirk, Elissa Cullison, Annette Ostertag, Sandra Cosner, and Cindy Bradley.

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Math Mathematics

CHAPTER 1

A Structured Approach to Change

"Schools are complex social organizations inhabited by individuals who have needs, feelings,...prejudices, skills, and limitations; a great capacity to learn as well as a sometimes greater capacity to defend old attitudes and beliefs.... The key to effectiveness is to tailor organizations to people — to find an organizational form that enables people to get the job done while feeling good about what they are doing." — Bolman and Deal, authors, *Reframing Organizations*

Transforming schools begins with a holistic, organizational development perspective that views schools as vital, dynamic, interrelated social systems. To create the optimal conditions for teaching and learning in a school environment, reforms must be comprehensive, systematic, integrated schoolwide, cluster-wide, encompass feeder patterns, and also be collaborative in nature.

The days of teacher isolation in the classroom, individual competitiveness, and turf protection are finished. The magnitude of the challenges facing schools requires strong measures and new structures to rebuild schools into effective organizations. To achieve substantive changes and to accommodate the new demands made of the organization as well as the needs of the individual, a school must examine and restructure its formal bureaucratic roles and relationships — how people work together, communicate, make decisions, and hold themselves accountable for student outcomes.

Chapter Highlights

- A Climate for Change
- Effective Schools Movement
- Collaboration and Restructuring
- California's Response to Changing Times
- The Change Process: How to Manage Change in Schools
- Phases of the Change Process
- Critical Elements

In today's newly restructured schools, collaboration forms the linchpin of any school reform endeavor, yet there must also be a structure or process in place to encourage these collaborative efforts. According to Michael Fullan (1982), "Real change...represents a serious personal and collective experience." Because schools are complex social systems, real and meaningful change must occur from "within" and extend outward to all aspects of the school community. This will happen only through the active participation and collaboration of those most involved in and affected by the school: students, teachers, parents, administrators, and the community.

Chapter 1 explains how California was affected by and is now responding to the pressures to change schools to meet the new demands of students and the community. Also included in this chapter is an introduction of the *Transforming Schools* systems change process and a summary of its implementation steps.

An overview is provided of how rapidly changing demographics and technology, combined with growing numbers of students at risk, affected California public schools, and how some schools responded to these pressures. One of the responses, which became known as the California Local Educational Reform Network (C-LERN), forms the foundation for the change process strategies presented in this manual. It represents an organizational development approach to transforming schools and was influenced by the effective schools movement. It was introduced by the California Department of Education, Specialized Programs Branch in collaboration with local school reform initiatives in 1987 and has been refined into the process called Community and Economic Development through Student Achievement (CEDSA).

A Climate for Change

In the 1980s, concerns about the growing crises in public education precipitated several private and government studies of the nation's school systems. Reports such as The Carnegie Forum on Education and the Economy's *A Nation Prepared: Teachers for the 21st Century* and the National Commission of Excellence in Education's *A Nation at Risk: The Imperative for Educational Reform* described alarming trends in education and profiled a disturbing picture: a serious decline in student achievement, low test scores, high dropout rates, increased drug- and gang-related violence, increased teen pregnancy, increased cultural diversity, multilingual student populations with special learning needs, few minority graduates enrolling in higher education, fewer students skilled and ready for the workplace, and a continuing loss of the nation's economic, competitive edge in the world. Other reports relating to rapid demographic changes such as *California 2000: A People in Transition*, the Achievement Council's *Unfinished Business: Fulfilling Our Children's Promise*, and data on high risk students prepared by the California Department of Education further profiled a disturbing picture of conditions which place youth at risk.

The nation's schools, organized earlier in the century to serve a relatively homogenous America, were not well prepared for teaching culturally diverse student populations with multiple learning needs. By raising the public's awareness of the important link between education, the economy and those students historically placed at risk, the reports offered compelling arguments for comprehensive changes in the schools. Their message set the tone in the public arena for school reform. By the year 2000 these reports predicted, one in four Americans would be a member of a minority group. Without radical changes, these groups would most likely receive a less-than-adequate education. The reports championed improved quality and equity as possible and affordable. Disadvantaged students should be entitled to the same challenging, rich core curriculum and learning opportunities that their classmates received. Without these, the alternative would be a growing underclass of unskilled and semiliterate people. Students at risk place the nation at risk.

FIGURE 1

THE CHANGING COMPOSITION OF CALIFORNIA SCHOOLS

Ethnic Composition	1967-68	1992-93
White	75.1%	42.3%
Latino	13.6%	37.1%
African American	8.2%	8.7%
Asian American	2.2%	8.2%
Other	1.0%	2.5%

Source: California Department of Education, *California: The State of Our Children*, 1992

Compounding the problem of escalating numbers of students at risk was the fact that powerful technology advances were altering the way most people lived and worked. Technology was rapidly changing society and schools. The very institutions which needed to keep up with these changes, seemed to be the least able to do so. Limited resources, lack of training, entrenched practices and bureaucratic roadblocks continually thwarted efforts to try out bold, innovative ideas for preparing students for this new era. As the gap widened between developing technology and the schools' capacity to keep up, the number of high school graduates equipped with the skills and knowledge required for postsecondary education and for entering the world of work in the new age of technology declined. If schools were unable to alter their systems significantly in the face of compelling demographic and technological challenges there could be a massive failure of public education.

In the context of these concerns, the reforms emphasized several important themes, including:

- Increased academic achievement for students from all walks of life.
- Adequate funding of education as an investment that serves the common good of the entire nation.
- Demand for the best of each individual — academic excellence for all.
- Change in national, state, and local policies through new legislation to give schools flexibility in instituting needed reforms.

The reports did much to raise the public's awareness of the crucial need to support educational reform — measures that would prevent further erosion of the nation's ability to compete successfully in world markets and the resulting losses in jobs, lower wages, and a decline in the standard of living. The alternative would be a growing underclass of unskilled and semiliterate people.

Guided by these reports, a national agenda was articulated by President George Bush and the nation's governors. These goals, translated into statewide goals at the 1989 California Education Summit, called for:

- Increasing accountability and improving assessment.
- Enhancing the curriculum.
- Improving high school transitions.
- Improving adult literacy.
- Restructuring to improve student performance.
- Improving teacher preparation and recruitment.
- Organizing more effective services for children, youth, and families at risk.

With national attention spotlighting public education, schools sought new and creative ways to achieve these goals through local educational reforms. These new strategies, with their emphasis on accountability and assessment, curriculum, integrated services, and restructuring, are key components of the reform initiatives of the 1990s. They moved the schools beyond the changes that constituted the earlier reform responses.

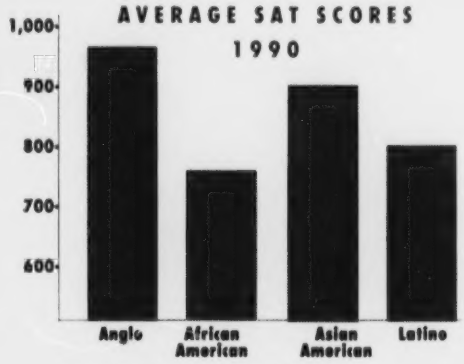
FIGURE 2

CORE COURSE ATTENDANCE AND SAT SCORES BY ETHNICITY

STUDENTS TAKING CORE COURSES TO ATTEND STATE UNIVERSITIES	
Latino	20%
African American	25%
Anglo*	33%
Asian American	48%

* White

Source: California Department of Education, *California: The State of Our Children*, 1992



Source: Legislative Analysts Office, *California K-12 Report Card*, 1994

Progress in student achievement even with early reform measures and specially funded programs such as Chapter 1, Special Education and Bilingual Education, has been insufficient to overcome existing achievement gaps. Hispanic and African American students continue to underachieve in comparison to their Anglo and Asian American classmates. Too many California students are unable to find the learning support they need for school success; thus, their status as students at risk of not succeeding in school continues, and in many schools, continues undiminished. The challenge to reach and teach these students calls for schools to move beyond the early initiatives and develop a new reform agenda. It must be an agenda that includes the reorganization of programs, services, and support systems so that *all* students have a better chance to learn, are able to take college preparatory courses, enroll in advanced placement, and can be winners of academic awards and prestigious scholarships. In short, all students should have a chance to receive the full educational benefits that schools can provide.

As old ways were modified or dismantled, a new orientation developed about teaching and learning in a knowledge-based society. This new thinking revolutionized previous school practices and led to the emergence of student-centered learning as the focal point of the school. Practices that have developed or resurfaced include:

- Individual styles of learning.
- Authentic assessment.
- Whole language development.
- Rigorous, meaningful, thinking curriculum.
- Thematic, integrated approach to curriculum.
- Integration of technology into the curriculum and classroom.
- General education textbook revisions reflecting newer orientations.
- Textbooks specializing in bilingual instruction.
- Multicultural education for staff and students.
- Active and cooperative student learning.
- Teacher as coach and facilitator of learning.
- Parent as significant partner.
- Administrator as leader and spokesperson for change.
- Results-oriented, outcome-based education.
- Student as problem-solver, perceiving meaning between old and new ideas.

These practices gave new life and vitality to schools but also created great stress. While educators struggled to absorb the new ideas and methods, they still had to do so in an organization whose flawed systems cultivated the status quo and inhibited innovation.

> *"But even if by some economic miracle this country could remain competitive without rebuilding our education system, we must do so for other compelling reasons: equal opportunity for all our children, preservation of an informed population capable of self-government, a citizenry with a shared sense of democracy, and a vision of our potential as a nation."*
>
> —*A Nation Prepared: Teachers for the 21st Century* (1986)

Most teachers and administrators know how to teach and run schools. What they do not know how to do well is to manage change in an organization. That is they often do not know which skills, processes, and techniques best serve their purpose. The burden of overcoming long-entrenched, rigid bureaucratic practices and attitudes that serve as barriers to change sets the context for introducing organization development strategies into the public school system.

THE EFFECTIVE SCHOOLS MOVEMENT

One reform initiative which confronted bureaucratic and attitudinal barriers directly was the California Local Education Reform Network (C-LERN). C-LERN merged organization development assessment processes with research findings from the effective schools movement to form a new conceptual framework for school reform. The effective schools research was a collection of studies by Ronald Edmonds (1978) and others which attempted to identify factors in schools that make a difference in student achievement regardless of the economic status of the individual student. These were widespread studies of school improvement in general, and the characteristics of effective schools, in particular, and suggested that certain factors were determinants of student achievement. These factors related to (1) school structure and the decision-making process; (2) management of the change process, competent administration; and (3) classroom and school redesign that increase learning time. Out of these studies emerged a conceptual framework of policies and practices characterizing "effective" schools.

Indicators of a successful school environment have been identified by Purkey and Smith (1983) in *Effective Schools: A Review*. These researchers identified the following exemplars of academically effective schools: clear school mission; strong instructional leadership; high expectations for student achievement; increased learning opportunities and student time on task; frequent monitoring of student progress; student acquisition of essential learning skills; safe, orderly environment for learning; and home-school relations emphasizing the importance of parent involvement. Also identified were schoolwide organizational structures that create an atmosphere for positive improvement including the following: school site management with defined autonomy to address problems; leadership that empowers others through shared decision making; tightly coupled curriculum that aligns materials, instruction, assessment; ongoing staff development to learn new instructional practices and alter old attitudes and behavior; schoolwide recognition of student achievement; and district support. Ways in which individuals work together in the school also impart the success of education. Purkey and Smith describe collaborative planning and collegial relationships; building consensus around shared goals, norms and strategies; "mutual adaptations" — learning to adapt the innovation to fit the uniqueness of the school; and school atmosphere conducive to experimentation and evaluation as process variables, those that provide the cultural perspective on school effectiveness.

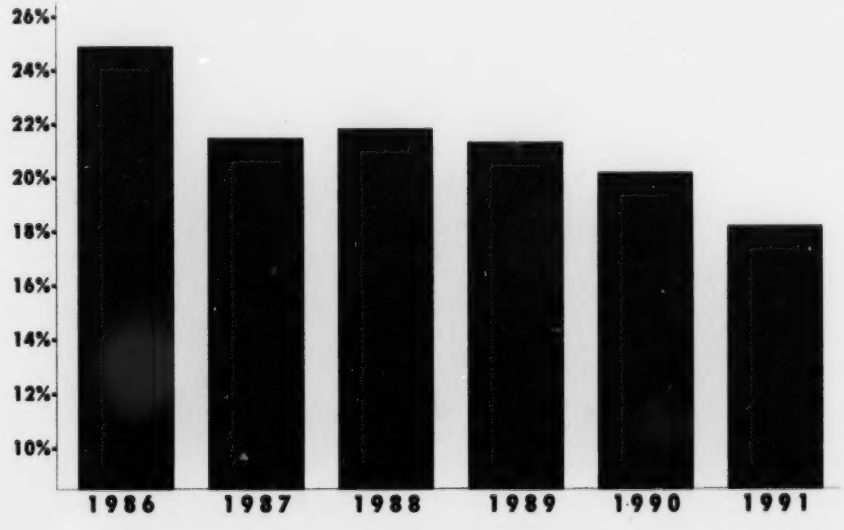
The studies indicated that if these characteristics of effective schools were present and practiced in schools, at all levels of schooling — the classroom, the school, the district — all students could increase their academic achievement regardless of their educational disadvantages and special needs. The individual school was believed to hold the greatest potential for realizing substantive changes. Simply put, effective schools are those in which teachers can teach and students can learn.

California's Response: Preparing Students for a Knowledge-Based Society

California has been in the vanguard of these changing times with powerful forces impacting the education system. Rapidly growing numbers of culturally diverse students coupled with major advancements in technology and new ideas on instruction and curriculum, combined to form a heightened sense of urgency for educational reforms in the state. Influenced by the reform reports, educators and legislators searched for new approaches to school reform. The enactment of Senate Bill 813 made far-reaching inroads in changing the nature and direction of public education. This bill tackled administrative issues of finance, curriculum, textbooks, assessment, accountability, the training of teachers and administrators and lengthened school year. The prominent placement of education issues on the agendas of state policy makers provided the leadership impetus for significant reforms to occur.

FIGURE 3

California's Improving Student Dropout Picture



Source: *Fact Sheet* 1992-93, California Department of Education

Districts began to implement the new state reforms by establishing higher standards for high school graduation, adopting model curriculum standards, and developing a "thinking core curriculum" with the accompanying instructional strategies and training to teach critical thinking, problem solving, and writing skills. Even with these reforms a significant number of students with special learning needs were still struggling in school, unable to meet the tougher, higher standards and continuing to "fall through the cracks." These were the students served by bilingual, migrant, special education, vocational education, and compensatory education programs, or who were identified for Chapter 1 or limited English proficiency programs.

Senate Bill 813 moved schools into uncharted waters where standards and expectations were raised, yet as it did so the paralyzing nature of the system became clear. Something else was needed to maximize student learning. Educators realized the kinds of changes envisioned by the reform reports and legislation could not be achieved through the resources of the school system alone. They would need to turn to the community for assistance and open up the system to new ideas and new relationships.

The public's increasing interest in education made it possible to experiment with new ideas for improving schools and opened the way to the types of initiatives and flexibility needed to produce effective school change. New dialogues, partnerships and support systems were developed through the activities of leaders from business and industry (e.g., the California Business Roundtable) and education organizations such as the College Board, the Achievement Council, Far West Laboratory, MESA (Mathematics, Engineering and Science Association), and the California Department of Education.

Schools at Risk

Although educators made numerous attempts to implement the new reform concepts, many California schools, with most of their student population designated as "students at risk," floundered and fell short of achieving the progress they and the state of California had intended. While struggling to find ways and means to break through the barriers that blocked increased student achievement for all groups of students, these schools remained in the "low performing schools" category as measured by various California Department of Education achievement indicators. Legislation such as Senate Bill 65 was passed to help those schools that were besieged by serious problems of gangs, violence, drugs, and dropouts, but it was not sufficient to bring about the comprehensive changes in the system needed to transform these schools.

Superintendents and other administrators began to voice concern that the organizational capacity of their schools to achieve significant changes was inadequate to meet the enormous problems they faced. The old ways of managing change were not realizing the results they desired. If they were to overcome the obstacles that impeded student achievement, they would need a different change process model and new knowledge about how to organize their systems to produce effective schools.

The California Local Education Reform Network (C-LERN) was the first initiative by the Department of Education that acknowledged these schools to be different. It recognized the changed nature of their student populations, the pervasive poverty that existed, and the lack of resources — both money and expertise — to change the schools into more effective organizations. Validated, too, were the absence of the skills, process, and experience necessary to envision a new version of what the school should be, its purpose, its goals, and the strategic plan to transform it.

C-LERN, sponsored by the Specialized Programs Branch, began with the mission to help schools increase student achievement for the vast numbers of children and youth who historically have been unable to benefit from the public school system. It offered interested California schools a unique, dynamic organizational change process model that they could use to produce significant change and improvement. C-LERN was a tool for managing change in the public schools.

How to Manage Change in Schools

Restructuring the school system to improve public education is a relatively new idea which many educators have rushed to embrace. Unfortunately, the lack of application of a conceptual framework and system to manage change has hampered their efforts and left many disappointed and searching for ways to overcome the barriers to change. With refinements learned from the C-LERN implementation, *Transforming Schools* presents the philosophy, techniques, and organizational development approaches that can be applied to all schools that wish to improve: low-performing schools that have a compelling need to change, good schools that want to do better, and outstanding schools seeking ways to stay on the cutting edge of educational advances in knowledge, technology, and new visions.

Transforming Schools offers a tool that can help individual schools create a more workable system. It presents a powerful approach to comprehensive school reform by embracing a new synthesis of ideas. It merges the belief that the school is the unit of change with the principles developed in the effective schools program. It recognizes the California curriculum frameworks initiatives, the California initiatives, program quality reviews, and subject matter projects as visionary resources for curriculum, instruction, and technology revisions. It underscores the importance of comprehensive, organizational assessments to produce the diagnostic maps from which schools develop unique improvement plans. It emphasizes leadership and skillful management of the change process as critical to a school's success. It stresses closer ties between schools and their communities. It advocates decision making in a collaborative process that includes those most closely affected by the decision. And it emphasizes closer ties between schools and their communities, as seen in the new CEDSA foundation's alliance with schools in San Francisco and Los Angeles.

FIGURE 4

CORE CONCEPTS FOR TRANSFORMING SCHOOLS

"We can, whenever and wherever we choose, successfully teach all children whose schooling is of interest to us. We already know more than we need to to do that. Whether we do it must finally depend upon how we feel about the fact that we haven't so far."

—Ronald Edmonds, Effective schools for the urban poor, *Education Leadership*

REFORM AT THE LOCAL LEVEL

Site autonomy and shared decision making at the local level offer the greatest promise for improving the quality of schools.

ACADEMIC EXCELLENCE

The goal is academic excellence for all students. Two crucial considerations in reaching this goal are equity and equal access. Equity: Giving all teachers the opportunity to teach and all students the opportunity to learn. Equity is *not* equal distribution. It is looking at each school and each classroom, individually, and supplying the necessary resources for quality instruction and a rich core curriculum. Equal Access: Providing an equal opportunity for each student to have access to the rich core curriculum, advanced curriculum, special programs, and high-quality instruction.

STRUCTURES FOR FACILITATING CHANGE

Schools must implement a step-by-step process for putting into place structures that will facilitate the change process. These structures, or "scaffolds" as they have been referred to, can be used time and time again to deal with each new issue. The structures are not new. They are simply strategies that allow those responsible and interested in education to work together effectively and efficiently.

COLLABORATION

For partnerships, alliances, and networks between students, teachers, administrators — between teachers and co-workers — between teachers and parents — between teachers and administrators — between administrators and the superintendent — between individual schools — between schools and the district office — between schools and the business community — between schools and institutions of higher learning — between schools and other public agencies — between schools and the California Department of Education — and between schools and anyone else who wants to help.

Reprinted with permission from Bobby, R. (1991). *The change process concepts paper*. Carmichael, CA: San Juan Unified School District.

The *Transforming Schools* change process represents a paradigm shift in how schools are organized and governed. It is intended to convert schools into result-oriented systems based on the premise that meaningful school reform can be achieved when schools combine the principles of effective schools with successful organization development techniques.

To achieve meaningful change, the process brings together school staff members, parents, members of the community, and students into new alliances. These alliances are forged when the authority to solve problems, make decisions, and determine allocation of available resources is transferred to the school site. A structural framework is set into place that shapes the manner in which these alliances proceed — the "scaffolds," as it were, for supporting the new model. This model of site-based authority provides autonomy but also requires accountability. It holds the schools responsible for outcomes within the framework of a shared vision, clearly stated goals, and an integrated school plan for action. This process restructures schools, giving them the opportunity, responsibility and authority to implement positive changes through shared leadership and rededication of purpose.

Experiencing this reform process fosters the development of attitudes critical for change to occur in a step-by-step, building-block fashion. Activities involved in the process itself promote a climate ripe for positive change. As a process, it can be used by any school because it provides a mechanism that empowers the school community to determine its needs; structure its organization to meet those needs; and develop a unique, specifically tailored blueprint for action to achieve academic excellence.

The challenge presented in this manual is that each school will redefine its purpose — to ensure academic excellence for all students, redirect its resources for effectiveness, reshape its educational program for better focus on its purpose and commit its energies by considering its priorities. The basic reform premises are:

ALL CHILDREN CAN LEARN
TEACHERS CAN TEACH
SCHOOLS ARE THE VARIABLE

PHASES OF THE CHANGE PROCESS

Transforming Schools describes a comprehensive, problem-solving change process that features site-based management, shared leadership, systematic organizational analysis of the school's critical issues, strategic planning, and a collaboratively-developed action plan to address and resolve these issues. The process consists of three components, each of which incorporates one or more phases.

FIGURE 5

CHANGE PROCESS PHASES

COMPONENTS	PROCESS PHASES
Needs Assessment	*Organizational Readiness*
	Orientation
Risk Assessment	*Diagnosis*
Quality Achievement	*Prescription*
	Intervention
	Evaluation
	Institutionalization

The first component, Needs Assessment (Diagnostic Services), is a service component that organizes current school data, identifies and formats existing potential problems, failures, and deficiencies, and interrelates them to their causes. The second component, Risk Assessment (Diagnostic Technology), is the determination of how critical each of the identified issues is to the success of the school's mission. The final component, Quality Achievement (Treatment) relates to the planning, remediation, and evaluation of the critical issues which were identified and prioritized earlier in the process.

A summary of each phase in the process follows. The chapters of this manual follow this sequence but have been further divided into four additional phases to make the concepts easier to understand. The final phase in the change process, Institutionalization, represents a culmination of the components.

Needs Assessment (Organizational Readiness and Orientation Phases)

This is a period of readiness preparation and includes the following:

ORGANIZATIONAL READINESS

District-Level Preparation: initial introduction at the district decision-making level conducted to secure well-informed leader advocates, commitment, and support for participation in the change process.

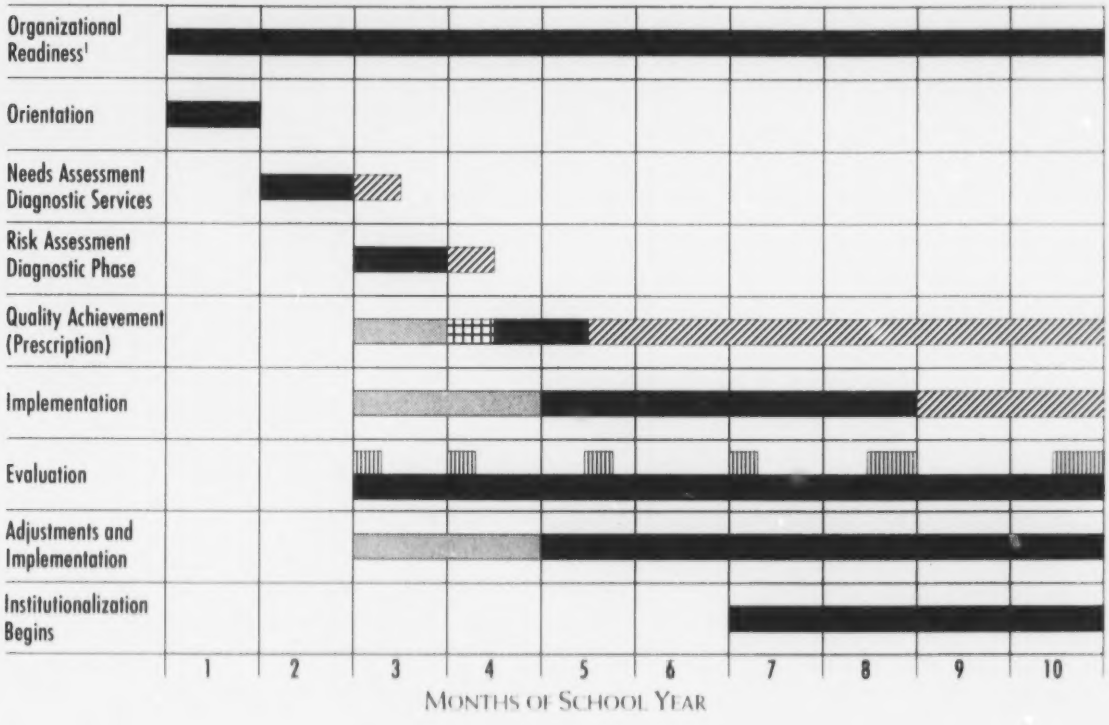
School-Level Preparation: introductory presentations to school site council and school staff to provide the information about the process in preparation for site participation after district support is established.

ORIENTATION

Change Process Coordinator: assigned to assist a school in the smooth implementation of the process. This individual should have knowledge and experience in implementing effective school research and be skilled in managing the change process.

FIGURE 6

STRUCTURAL PROCESS FOR TRANSFORMING SCHOOLS



[1]This chart shows the time line for schoolwide change starting with the beginning of school-level preparation. Prior to this, however, district-level preparation (i.e., gaining the support of the superintendent, school board and other key figures, and training for organizational change) has been underway. Without a base of district support, the process should not begin at the site level, and changes at the site should be initiated with district support.

BASELINE DATA: information about a school's past performance and current status is collected and used to measure progress toward the school's mission.

SITE LEADERSHIP TEAM (SLT): a group of key representatives of the school that directs the implementation of the formal change process at the school site.

MISSION STATEMENT TEAM: members of the community who are organized specifically to write a mission statement for the school.

MISSION STATEMENT: defines the school's purpose and establishes its overall direction with measurable student outcomes.

THEREFORE STATEMENTS: school objectives that provide focus and direction to the mission statement. The statements galvanize feelings and thoughts about what is most important in achieving the school's mission.

TRAINING: conducted to prepare participants for the specific phases and steps of the process and to provide a forum for discussion and understanding of what they can expect during the change process.

Risk Assessment (Diagnosis Phase)

The second component is a merger of the information obtained during needs assessment with a schoolwide, systematic, interactive organizational analysis process that clearly identifies the real or perceived obstacles to school improvement. Once identified, the needs are ranked, validated, traced to their root causes, and compiled in a school intervention document. This document, called the Report of Findings, forms the basis for designing a prescriptive plan of action to remove those obstacles. At the conclusion of this phase, quality achievement action teams are established around particular themes or categories of high risk factors that stand in the way of a school's success. These teams are assigned the task of remediation planning to remove those high risk factors and execution of the plans, once approved.

Quality Achievement
(Prescription, Intervention, Evaluation, and Institutionalization of the Phases)

This is a four-part component that involves the development of remediation or prevention plans, the implementation of those plans, and follow-up to encourage adjustments.

PRESCRIPTION

The planning segment during which school administration, parents, teachers, students, and staff work together in teams known as quality achievement action teams to develop a step-by-step, schoolwide prescriptive plan of action to eliminate the critical obstacles to school effectiveness identified during the Diagnosis Phase.

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INTERVENTION

The treatment or remediation segment, during which prescriptive plans of action strategies designed to interrupt the chain of events that block the school's efforts to achieve its mission are implemented.

EVALUATION

Ongoing monitoring and assessment of the progress of the prescriptive action plan, with periodic adjustments in view of current (new or changed) data. Accountability is an ongoing activity in the Evaluation Phase. Reporting to concerned bodies on what has been achieved and what remains to be done should be routine and an embedded activity in the Evaluation Phase.

INSTITUTIONALIZATION

This final phase represents an end product yet allows for evolution and refinement. This phase represents the final product — transformation of a school — and allows for regular application of problem-solving mechanisms of the change process to ensure that the improvement process becomes the established procedure for improving the quality of schools. Adjustments and periodic "repeating" of steps and phases of the process will be necessary over time to accommodate changing conditions, such as outcomes, staffing, policy, and new opportunities. Fine-tuning or major overhauls to the newly transformed school system can be conducted by reassembling the "scaffolding" procedures of the change process steps.

ELEMENTS CENTRAL TO THE TRANSFORMING SCHOOLS PROCESS

Central to the implementation of the change process are the beliefs that it is:

- ✔ A process by which the entire school community redefines its purpose to ensure academic achievement for all students.
- ✔ Agreement through consensus that reestablishes a school's mission and goals, reorganizes its priorities and provides better focus of purpose.
- ✔ Comprehensive, schoolwide planning based on an interactive process that identifies and analyzes critical problems, traces them to their root causes, and maps out a blueprint for problem-solving action.
- ✔ Action produced through recommitment and rededication of those most deeply involved and responsible for a school's success.
- ✔ A power created from the meaningful change in schools when teachers, students, administrators, and parents work together to redirect their resources to achieve the desired outcomes of academic excellence, equity, and equal access for all students.
- ✔ Feeder patterns or clusters of schools working together (elementary, middle school, and high school).
- ✔ Partnerships formed with parents, businesses, colleges, universities, the Department of Education, and community organizations sharing their resources and expertise to assist schools in their journey toward higher quality education.

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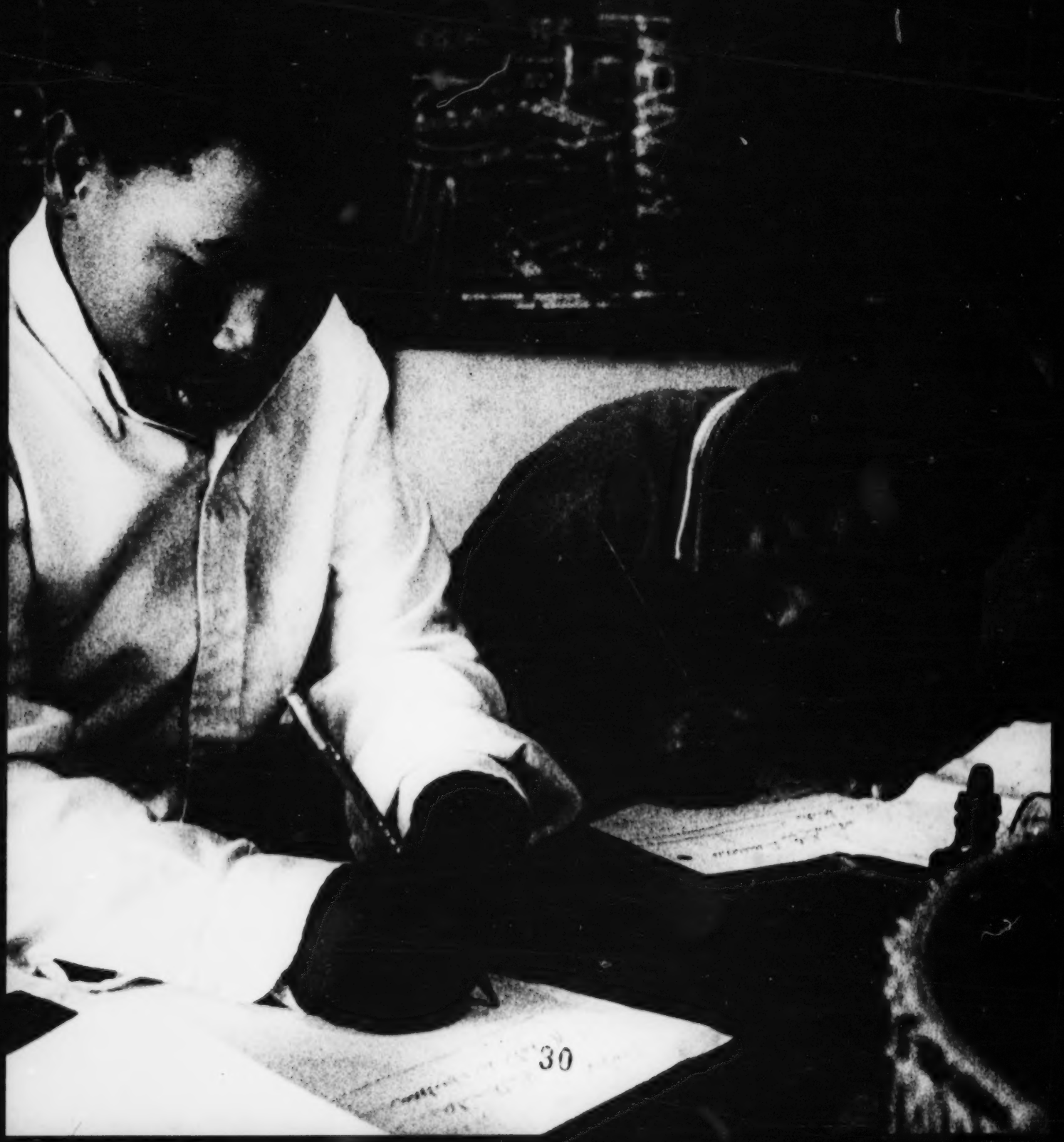


CHAPTER 2

NEEDS ASSESSMENT: ORGANIZATIONAL READINESS

"Commitment: a state of being not only enrolled but feeling fully responsible for making the vision happen." — Peter Senge, author, *The Fifth Discipline*

For significant change to succeed in any organization, the sponsorship or advocacy by the organization's top executives is essential. In school systems, this top management level includes the superintendent and cabinet, the board of education, and union leaders. The first step in reform, then, is to introduce district leaders to the particular reform process being considered in order to develop essential leadership commitment and support for the undertaking, and to determine the degree to which the district appears to be "organizationally ready" to proceed. Steps during this initial period of preparation include information meetings of district leaders, the securing of top management sponsorship, and an initial review of the organizational structure, resources, and needs as they relate to a decentralized, site-based management system and the change process.

A school's decision to implement a comprehensive change process follows district-level approval and is typically made after school staff have received information presentations on philosophy, basic tenets, and processes of change. This chapter describes the important features of this phase.

Chapter Highlights

- Securing District and Site Leadership Commitment and Support
- Site-Based Management Decision to Restructure
- Deciding on the Process: Determinants of Acceptance
- Creating a Sense of Ownership
- New Roles and Readiness
- Organizational Readiness Complete

Securing District and Site Leadership Commitment to Change

What is essential to introduce a change process successfully?

The successful introduction of any comprehensive organizational change process into a school system must have the active and enthusiastic sponsorship of leaders of the district from the beginning. It also must have sufficient staff support to ensure a high degree of agreement and cooperation in the effort. These two factors are essential to launching and upholding a change process. In others words, there must be:

1. Knowledgeable, persuasive advocate(s) in the district at the top decision-making level to sponsor the effort.
2. A "critical mass" of persons committed to reform so that there is a sufficient number of people willing to exert the time, energy, and resources.

The formal change process begins at the district level with a presentation about the proposed process to the district's decision makers: superintendent and top administrators, collective bargaining leaders, and school board members. This important first step involves relating the beliefs, intentions, rationale, and participation requirements. It sets the stage by preparing district leaders for what will happen during the process — the technical steps and procedures to be used, as well as the possible dissonance that may be experienced as schools undergo fundamental changes — and how to use the process to manage and mediate conflicts as people negotiate changes. This step also explains what the leaders' collective role will be and how they will have the power to shape education reform locally. "Buy-in," or sponsorship, at the top level of the organization is considered essential to generate a sufficient number of advocates to ensure districtwide support. Without this level of support, schools will find their attempts to produce fundamental changes through bold, visionary action misunderstood and blocked.

Organizational Readiness: preparing the district and school to participate in the reform process.

The determination of who makes the presentation will depend on who seems to be the most appropriate person to explain a particular process or change model. It might be the superintendent, a district administrator, a university representative, a private organization development consultant or firm, or a person from a Department of Education or county office of education program. Regardless of the source, the reform process should have the active and enthusiastic sponsorship of leaders of the district. The goal at this point is to obtain district commitment to the process.

After district-level sponsorship is secured, a series of introductory presentations continues throughout the district to provide site administrators, staff members, and parent representatives with sufficient information to form a basis for deciding whether they wish to participate. Where the school site council is active, its leadership support for the proposed process becomes a persuasive voice to the rest of the staff in making their first collective commitment to change. This is important because it is the first collective decision step of the process. Students

who sit on high school site councils will also participate in this pivotal decision. Note, voluntary participation is the more desirable method to secure school site support. Participation mandated by a district office is fraught with the tone of coercion, the risk of resentment, and, among other things, establishes an adversarial rather than cooperative beginning.

Site-Based Management Decision to Restructure

Why does a school choose to restructure?

A school turns to restructuring because it perceives the need to eliminate, replace, or redesign existing conditions, policies, practices, roles, and relationships that no longer work or are unsuitable for today's educational needs.

Reasons for deciding to restructure will vary depending on the particular local circumstances of a school. Sometimes, district leadership realizes that student achievement can and should be improved, but resistance to change is met at the local site. In other cases, the individual school recognizes the need for restructuring but does not have a process in place to determine what changes should be made. In some districts, the decision to institute specific changes has been accepted by all the members of the school community, yet a system to implement the changes is not in place. Whatever the reasons — new curriculum frameworks, advances in technology requiring new job skills for graduates, changing student demographics, embracing diversity, new discoveries about the learning process, or chronically low academic student performance — the school has concluded that its current conditions and practices are unacceptable and that it must take bold, comprehensive steps to correct the situation.

What change process should a district or school embrace?

For some districts a shift to site-based management may be a restructuring decision that precedes all others. Selection of a particular change process follows the decision to restructure and districts approach this decision differently. Two districts that participated in the C-LERN model illustrate this point. The San Rafael School District's board of trustees supported the C-LERN reform process but did not require that schools select this model. Instead, schools in the district were given the option to choose C-LERN or choose an alternative process for restructuring. In Los Angeles, 15 schools were targeted for reform, and the selection of the change process was decided at the district level.

The organizational change model advocated in this manual is driven by the twin goals of equity and access to high-quality education for all students and is founded on a decentralized, site-based management system by which representatives from the entire school community work together to solve problems, make decisions, implement plans, and monitor progress. This participatory system, with its use of an organization assessment and a modified

strategic planning process, offers schools an empowering mechanism that draws heavily on the involvement of staff, parents, social workers, community members, and business representatives throughout the reform effort. This reform process also provides a structured mechanism for assessing the risks and overcoming the obstacles to successful student outcomes. As a restructuring tool, a collaborative model can mobilize a school and its community, enabling the goals to be achieved. But to achieve at levels beyond the traditional, safe, and familiar, all participants must understand the process and the actions they will be required to take.

Some schools and districts come to the change process selection stage with a specifically defined need. They have already identified changes needed and want a way to implement them. For example in the Los Angeles Unified School District, schools in the C-LERN network used its change process to implement the district's board-adopted programs in areas of preschool transition, bilingual education, elementary core curriculum, and instructional practices. Even though the district had identified the changes needed, the involvement in a selected change process ensured a sequential phasing of the steps and techniques that could successfully guide the schools in their efforts. These schools could evaluate the risk assessment involved in implementing the programs and systematically plan removal of obstacles in the system that blocked implementation.

In the San Rafael schools, restructuring using the C-LERN change process was seen as a way to address the unique needs of each school because it established a system for schools to share decision-making powers with the district office and board of education. In this district, the prevailing motive was governance and empowerment and had the support of the teacher association and most of the individual teachers. Reorganizing the district into a site-based managed system through the C-LERN change process resulted in the empowerment of each school to make significant decisions about improving its services, programs, policies, and procedures. For example, one elementary school studied the effects of grade retention on student learning and came to the conclusion that this was not an effective strategy to improve student achievement. Consequently, the school eliminated grade retention as a learning intervention. The restructuring process made this policy change at, and by, an individual school possible.

It is important to recognize that a variety of improvement processes exist. Private industry, organization development firms, and individual change management consultants are available for contracted services and support. In the C-LERN model the process produced system changes that were individualized and unique to the school or district using it to restructure. The procedures were applicable in any school because the activities fostered the development of attitudes critical for change to occur in a manageable, step-by-step sequence. In that model the process empowered a school community to determine its needs, structure the organization to meet those needs, and develop a unique blueprint for action to achieve academic excellence. Because the circumstances, climate, and culture of each school will differ, the school's leaders must discover the best process for their situation. As a general rule, a school will select an organizational change process after considering the merits of the process models available to it and the readiness and motivation to proceed.

FIGURE 7

REQUIREMENTS FOR PARTICIPATION

1. A belief that all children can learn, teachers can teach, and schools are the variable.
2. Schools can make a difference in how much and how well children learn, and schools should be held accountable for this.
3. Objective, diagnostic instruments, or systematic processes will be used to address the following:
    a. Authentic student assessment and student attitudes toward school (teacher observations, analysis of student test scores, work products, and other cumulative materials).
    b. Curriculum and teaching strategies, including classroom observations and use of state frameworks and guides to examine instruction.
    c. School climate and culture.
    d. Parent and community relations.
4. Community members will be included in finding solutions to problems implementing changes.
5. New roles for the central office and school staff will be developed. This includes the creation of a new role — a "change agent" — who acts as a mentor, provides or arranges for staff development, seeks additional resources for the school, and assists with the paradigm shift.
6. Additional resources and staff development opportunities for classroom teachers will be provided.
7. The school district and local board of education will support the change process, as demonstrated by allowing staff to participate and by paying costs for the diagnostic assessment of the organization and related services.
8. School-college and non-college collaborations will be explored.

There must be a willingness to accept the requisite dimensions or beliefs framing a reform process and to follow it as designed. C-LERN, for example, required district commitment to specific principles or beliefs as part of the requirements for participation. These are expressed in Figure 7, Requirements for Participation, and continue to be applicable as guides to restructuring schools.

Once a school makes the decision to participate, the full change process begins, taking a school through the series of steps, phases, and procedures as described in this manual. Each step is designed to implement a particular function in the process and will require some degree of training, technical support, and resources to make it work.

Sense of Ownership

Why is it so important to create a sense of ownership from the start?

Proceeding step by step through the process fosters the development of attitudes and conditions required for positive change. The change process described in this manual is a shared leadership model. Its activities promote a climate favorable to change because the process is inclusive and requires consensus throughout the school — students, parents, teachers, support staff, and administrators — before new practices, policies, or procedures are instituted. Allowing time to reach consensus through collaborative planning and decision making builds commitment, a sense of ownership, and support schoolwide for innovative changes, thus increasing the potential for success. Because collaboration is so critical for reforms to succeed, taking the time in the beginning to prepare people becomes an essential step in building staff support and willingness to participate as the process unfolds. To demonstrate integrity and to build trust for the work to follow, the process must be consistent with the principles that will be applied in the change process. Shared decision making from the beginning builds that trust, laying the groundwork for future commitment to the process.

> *"I was lucky to be transferred to Lane School at the same time that the district adopted this change process. It started us out on site-based leadership. Five years later we make all our decisions via the site leadership team. It is prestigious to belong to the site leadership team and staff members, parents, and community members are eager to attend. I don't make decisions without the input of the site leadership team. I just make certain that a decision does not have an unfair impact on anyone. We make progress together."*
>
> — Bill Walker, Principal, Lane Elementary School

When change is decreed without the full participation of those who will be involved, the results can be detrimental. The San Juan Unified School District's experience demonstrates what happens when the initial preparation period and participatory decision-making elements are disregarded. San Juan now has its own successful program, Alliance for Excellence, which incorporates many of the principles and procedures from the initial C-LERN model but contains improvements that tailor a more compatible fit between the process and the goals of the school. (For a listing of the Alliance for Excellence principles see Appendix A.) When the C-LERN change process was first implemented in the district, it failed to create a critical sense of ownership because participation was required. Faced with this mandate, teachers and administrators reacted negatively and for two years little progress was made. Participants questioned the district's commitment to change, and, in fact, the failure review had singled out a perceived lack of district support as a significant cause of previous breakdowns in attempts to change the school and its instructional environment. Most felt district administrators would not permit change at San Juan District's Howe Avenue Elementary School. It was only when the district lifted the mandate, giving schools the opportunity to discuss the need for change and decide for themselves, that the restructuring process was finally accepted. By modifying its own approach to change, the district was able to build the commitment and sense of ownership needed to bring about positive change.

From these changes, the district is experiencing not only increased student achievement in the participating schools but also increased parent and personnel involvement. "Staff and community have become very supportive of educational equity for all students," explains the San Juan Unified School District Elementary Schools Director Randy Bobby. "There is now a strong belief in the concept that all students can learn, and it has become widely accepted in this district that schools should provide opportunities for all students to be successful."

The superintendent, recognizing these feelings as genuine obstacles, devised a remedy called "Little Red School House." District-level administrators frequently visited the school to interact with the community as listeners and facilitators, rather than as defenders of the status quo. Discussions were held to explore the soundness and feasibility of educational concepts and program alternatives being proposed by the Howe community. By moving from a top-down to a community involvement model "Little Red School House" validated local concerns and demonstrated trust and respect on the part of central office managers. From these meetings a set of strategies, some originating at Howe, others emerging as outcomes of the school house dialogue, were adopted to implement the change process at the school. When district leaders asked staff to respond to a set of reflective questions about the need for restructuring, these self-examination questions laid the groundwork for staff to think about the magnitude of thoroughly restructuring their system. (See Figure 8.)

FIGURE 8

SELF-EXAMINATION QUESTIONS FOR THE SCHOOL

QUESTION 1:

Does the school perceive the need to change?
How does your school compare to the definition of an effective school?

QUESTION 2:

Does the school have an organizational structure that will accommodate change?
Does the school's organizational structure support shared decision making between staff and administration?

QUESTION 3:

Are reorganizing, restructuring, and/or reform high priorities for the school?
What are your school's priorities.

QUESTION 4:

Is the school willing to commit necessary time and resources in support of the change process?
Are the Chapter I and SIP budgets used effectively to support the school's priorities?

The questions in Figure 8, asked in the San Juan model, form a basis for self-examination that can focus staff and help them recognize barriers that need to be removed. Each of the questions has considerable depth and, in turn, raises other questions that encourage participants to explore, discuss, and clarify current realities, purposes, and values. In addition to the list of questions, San Juan staff were asked to compare data from their sites with Effective Schools Research findings. The purpose of this exercise was to help the participants to recognize their schools indeed had symptoms that indicated a need for improvement. An analogy for the district's experience is provided by Randy Bobby: "The process of gaining an awareness of the need to initiate change is like finally deciding to go to the doctor after recognizing that one has the symptoms of an illness."

How does site-based management advance a sense of ownership?

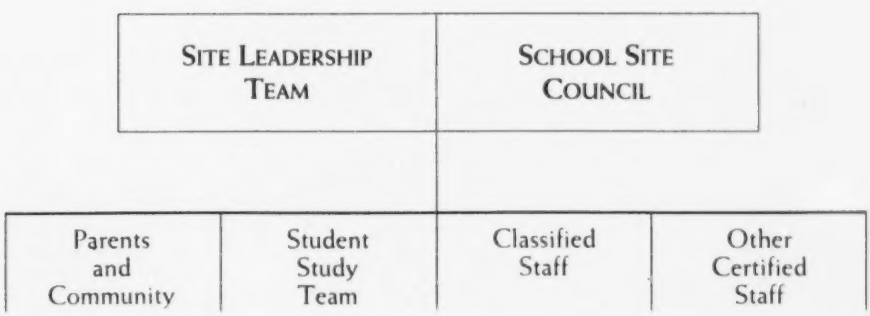
The organizational approach recommended in *Transforming Schools* is predicated on the premise that fundamental changes and higher student achievement in a school will be produced by decentralizing decision-making powers in school districts. Allowing individual schools to share the responsibility for making important decisions about their learning environment, curriculum, and instructional practices, stimulates creativity, initiative, and commitment. A decentralized system with shared leadership empowers people because it gives those most closely affected by decisions a significant role to play in making those decisions and increases the likelihood that reforms will be most effective when implemented by those who were responsible for developing them.

Motivation to execute decisions is greater when the decisions are made through a site-based management system than when policies, practices, and procedures are dictated from afar. School districts have become too large and complicated to continue adhering to a traditional, centralized management practice that excludes others in the organization from contributing their expertise to the decision-making process. Empowering others in the district to share this important leadership role promotes the flexibility, creativity, and trust needed to improve the effectiveness of the school.

Figure 9 is an example of how various school segments and organizational groups exist in a site-based managed elementary school. In this example, the merging of the site leadership team and school site council into one team at the center strengthens the governance and the accountability structures of the school. The graphic illustrates how decision making is a shared activity with discussion among a variety of representative groups in the school.

FIGURE 9

SITE LEADERSHIP TEAM MODEL



New Roles for Participants

What are the board of education and employee association roles in the decision?

Formal action by a school board is a necessary step in beginning a reform process because the supporting policy and resources to fund and staff it must be authorized by the board. The change process described in this manual stresses sharing the leadership role. It views each school as a unique organization which should be allowed to design its own innovative plans for improvement based on this uniqueness. There are no "cookie mold" solutions prescribed. This view of schools includes restructuring the decision-making process into site-based management so that those most responsible for student achievement are given increased latitude to decide what will work best to increase academic achievement at their school.

Sharing leadership is a new experience for many districts. It creates a wider distribution of power throughout the organization. Local governing boards still maintain their legal, political and fiscal responsibilities, but restructuring for them often means better listening and greater acceptance of site-generated plans for school improvement. By authorizing reform through restructuring, local boards open up the system to creativity, greater resources and an improved climate for trust and respect with the district.

The support of the employee associations is also essential to the process. Although each district has its own arrangement or procedures for working with its collective bargaining units, association leaders should be included from the beginning. This was done in San Rafael and it helped attain teacher acceptance for restructuring. There, the teacher association leaders recognized the opportunities that could be brought to the district and actively urged their colleagues to accept involvement in the process.

What is the superintendent's role in readiness decisions?

Changing a school system is a complex enterprise and, as in any organization, the top executive must function as a courageous, visionary leader — one who can see the global dimensions, understands the pressures at work on the school system, and is willing to sponsor school reform through a participatory, decentralized, site-based management system. The superintendent should become the district's leading advocate for the decision to restructure schools.

What happens to the superintendent's decision-making power in a decentralized system?

Restructuring into a decentralized system can have dramatically different effects on individual districts. The superintendent, accountable for ensuring that the system works effectively for all students in the district, must genuinely believe in the paradigm shift. An open system of decentralized management can represent a huge risk for a superintendent. As Stephen Covey discusses in his book *Principle-Centered Leadership*, this type of management system can create "more innovation, initiative, and commitment" but can also produce more "unpredictable behavior." That is why the dimensions of participation require a transformation of the control mechanisms of the district. That is why there is a need, at all levels of the district, to provide effective information systems, structures, feedback channels, and compensation (financially and mentally rewarding). That is why aligning of the district's management practices with a new vision of collaboration and shared decision making is essential if restructuring is to succeed. The superintendent, as chief executive officer of the district, becomes the individual most responsible for articulating and promoting this significant paradigm shift within the district and within the community.

What is the principal's role in the change process?

People look to the principal for assurance and leadership particularly when experiencing change in the school system. The chances of schoolwide changes being successful are diminished if the principal is an unwilling leader of the effort. The decision to restructure and the decision to share leadership in the change process for many principals merely expands their role as facilitator, advocate, resource provider and negotiator. For others, the collaborative role shared with staff and parents and the empowerment that results may significantly alter a principal's traditional role. Many principals welcome collaborative decisions because they believe it produces greater staff and parent commitment to implementing decisions and taking responsibility for achieving the objectives of those decisions. They understand that change of this magnitude takes time, produces conflict and a degree of uncertainty during transition periods. These principals are able to adapt to their role as champion and facilitator of the change process, confident they can generate sufficient staff motivation and commitment to keep focused on the mission while weathering periods of dissonance.

Others may find a collaborative role disturbing because they are not skillful in negotiating consensus, because they may perceive a loss of control or power over decisions, or because of the longer time it takes to reach decisions when more people participate in the process. Regardless of leadership style, site-based management requires a period of readjustment for principals as they learn how to lead in this new form of governance.

What about the changing roles of parents, teachers and the community?

This text is based on a collaborative model for change. The collaboration effort reaches beyond the school and into the community to seek and form partnerships because neither individuals nor schools alone can provide what is necessary to increase student learning. Collaboratives are created between individuals within the schools, between the school and universities, the school and community colleges, the school and business, the school and social agencies, and parents/teachers and students.

More and more the need has grown for strong collaboration, particularly between the school and the community it serves. Collaboration is all the more important when student achievement is viewed as a major factor in future community economic development.

Collaborative triads are promoted within a district to create shared communication, alignment, goals and services, and greater resources for student learning. A triad is a collaborative network formed among an elementary, middle, and high school within a district. All three participate in the change process and are intent on strengthening the coordination and articulation of the curriculum, services, and programs among each of the three levels of schooling. For example, for the first time in one district, the fifth-grade teachers of one school arranged to spend their release day with the sixth-grade teachers from the middle school so they could compare curricula, academic standards, and middle school behavior expectations. From that meeting, revisions to the fifth-grade curricula and ideas for preparing the students more adequately to meet middle school expectations were implemented. Furthermore, future meetings were planned so that the teachers could continue to exchange ideas and make needed improvements in their programs. Triads can also be formed between middle schools, high schools, and community colleges. These partnerships provide a wealth of benefits and resources for schools in carrying out their mission.

How does a district balance the need to maintain centralized control as an organization with decentralized power at the site?

Although the decision-making function is decentralized, the elected governing board does not abdicate its legal responsibility for the entire system, nor does top management become powerless to provide direction and guidance to the district. A district will need to determine which decisions are to be made centrally and implemented on a uniform basis throughout the district and which ones will be made through site-based management. A shared-leadership model includes site participation in decisions that affect the entire district but retains for the board of education its legal right and responsibility to approve and adopt budgets and policy. A district's decentralized, site-based management system must fit within clearly defined parameters that accommodate both top-down and bottom-up participation.

Participatory management as experienced through site-based management is a strategy, a means to achieve the purposeful outcomes that are expressed in a district's and school's mission statement and guiding principles. The reason to shift to a participatory management arrangement is to be able to generate the flexibility needed to respond to the challenge of meeting the learning needs of students, access the talents and expertise of individuals across all levels of the district, and engage them in meaningful problem-solving and planning that ultimately leads to implementing innovative change strategies that effectively improve student performance.

What are the potential funding sources?

Several potential public and private funding sources are available to support the costs associated with a comprehensive change process. In general, these are listed below.

1. District general funds are provided to the school site through the apportionment process to operate the school. Because they are district funds, there are few restrictions on their use.

2. State categorical funds may be used within the context of state requirements and specific program restrictions.

3. State agency funds are provided by such agencies as the Office of the Attorney General, Health Services, Youth Authority, Mental Health, Traffic Safety, Criminal Planning, Drugs/Alcohol/Tobacco Abuse, and the California State Lottery. All funds for educational programs may, in accordance with specific program restrictions, be used for a system change process.

4. Federal categorical funds usually have restrictions requiring compliance. Within the context of these requirements, however, use of the funds is permissible. Specific categories are Compensatory Education, Vocational Education, Special Education, Chapter 2, and the Job Training Partnership Act (JTPA).

5. Private contributions are provided by local community resources, (e.g., utility companies, bank and credit unions, large local employers, service organizations, foundations, professional sororities and fraternities, philanthropic organizations, and professional sports groups).

Questions concerning specific restrictions, uses of public funds available to schools, and waiver requests should be directed to individuals in the local district who are responsible for administering those programs. Further clarification may be obtained by contacting the appropriate unit in the Department of Education.

Are there any hurdles to overcome during the Organizational Readiness Phase?

Building consensus to participate is, of course, one such hurdle, but more than that, once the decision is made, the first noticeable outcome will be an organizational change in the relationship between the individual school and the district office, including the board of education. As decision-making authority begins to shift to a site-based managed system, schools will begin to exercise more autonomy and district office personnel will find their roles changing from the traditional, directive, top-down model to one of supporting schools based on their identified needs and planned strategies. As site participation in the decision-making process assumes a greater role, more sensitivity, accommodation, and negotiation between the central office and the schools will occur. This shift is one of the strengths of the process, but it is also one of the most difficult changes for district and site administrators to manage because it directly affects the nature of their leadership roles in the organization. This shift is called the "inverted pyramid" model, a model that actively promotes innovative thinking and problem-solving throughout the organization, regardless of position or role.

Discussion of the structural changes in roles and relationships is a part of the initial information sessions and should be included in any training program designed to help participants learn how to carry out their new roles. Trustees and administrators will also need training to help them understand the significance of the change and how they fit into the new paradigm.

What training will be available to help districts prepare for the change process?

Many sources for trainings support the change process. Typically, the organization development consultant selected by the district to conduct the assessment process during the Diagnosis Phase provides change-agent facilitators who can work with district personnel and school staff to prepare them for the roles, skills, and expectations of the change process.

Potential sources of assistance for training purposes include district office staff responsible for staff development activities, local county offices of education professional development staff, the California School Leadership Academy, the California Professional Development Program Resource Agencies and Consortia, and independent organization development consultants.

What comes next?

Chapters 3 through 7 set forth the series of phases, steps, and procedures on how to create and manage change in school systems based on the organizational assessment process used by the CEDSA project. It is an improved, streamlined version of the original process employed by the more than 75 C-LERN schools that restructured their systems. The newer, improved model, presented in this manual, is simplified and at the same time stresses even stronger ties between schools and their communities.

ORGANIZATIONAL READINESS COMPLETE

The Organizational Readiness Phase concludes when the following tasks have been accomplished:

- ✔ The initial meeting has been held between the district superintendent, deputies, assistants, and cabinet members with a knowledgeable presenter on the topic of restructuring and potential change process options.
- ✔ Information presentations have been given to district leadership (e.g., employee association leaders, members of board of education, cabinet, management team, and school site leadership team). Groups will vary according to organization of each district.
- ✔ The self-examination process, to determine the buy-in, has been conducted.
- ✔ Initial sponsorship or "buy in" has been developed and the decision to recommend participation in a selected change process has been made by both top management and employee association leaders.
- ✔ District participation in the restructuring change process has been approved by the (or a) governing board.
- ✔ School information presentations have been conducted to develop next-level "buy in" and, unless mandated by the governing board, site decision to participate has been made on a voluntary basis.

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CHAPTER 3

NEEDS ASSESSMENT: ORIENTATION

"Without a clear understanding of what excellence is for all children, how do we assess and evaluate the process and the outcomes." — Shirley Thornton, Deputy Superintendent
Specialized Programs Branch
California Department of Education

The activities described in this chapter occur during the Orientation Phase and are used to construct the "scaffolding," the internal and external organizational support structures needed to support the change process in a site-based managed school. During the Orientation Phase a school will develop its mission statement and supporting goals, select its leaders, define new roles and relationships, develop a data profile, determine available resources that will support the reform effort, establish an effective communication process to elicit feedback and create consensus, and begin training the entire school community in the purpose and procedure of the selected reform process.

Chapter Highlights

- Constructing the Scaffolding
- Selecting a Coordinator
- Selecting a Site Leadership Team
- Writing a Mission Statement That Sets the Focus
- Data Collection and Assessment of Need
- Attitudinal Surveys
- Getting Organized
- Making Good Use of Resources
- Preparing Staff and Community
- Orientation Complete

Constructing the Scaffolding

What are the steps during the Orientation Phase?

During Orientation the entire school community will become acquainted with the organizational change process. The school's leadership team will be selected. District personnel will be appointed to coordinate and facilitate the process. A mission statement will be written by the school's mission statement team. The organizational structure of the school will be reviewed, resources identified, and baseline data collected so that progress can be measured. The first step will be to identify key personnel who will be responsible for assisting schools in implementing the process. It is important that these personnel become involved in "envisioning" — the process used in the development of the mission statement to create a preferred future. The process is underscored by the belief that aspects of the future can be influenced by present activities. The mission, goals, and objectives developed by the school should reflect not only this envisioning process, but also the school's unique purpose, conditions, and needs.

Selecting a Coordinator

Who is responsible after the decision to adopt the process has been made?

Although everyone in the system becomes a "change agent" — accepting a responsibility for the results of the process — each district will select its coordinator, the person or persons who will be primarily responsible for coordinating and facilitating the process. The assignment of this person usually occurs after the selection of a specific change process model. The school coordinator is often referred to as a "school coach."

The capacity to envision a transformed school is a required quality for this position. This individual, who may be a district employee or hired from outside the district, is selected in accordance with district personnel procedures. Selecting someone from within the district is advantageous because that person is knowledgeable about district policies and practices.

The district coordinator will have primary responsibility for the smooth implementation of the process. The coordinator may serve one or more schools and is expected to facilitate the district responses to the needs of the schools. Although the job description may vary slightly from district to district, essentially this person will lead the coordination, facilitation, and training activities. The coordinator will provide coaching and strategic planning assistance to principals and leadership teams and will also serve as a liaison between the district and the Department of Education to obtain resources and help with specific needs.

Core School Community

Parents, administrators, board members, teachers, support staff and students, and anyone working with or in the schools. The expanded school community includes individuals from community agencies, business, and postsecondary education

The coordinator will help the schools prepare their documents: mission statement, data base, matrix of resources, organizational design diagram, and later in the process, prescriptive action plans. The coordinator will also be responsible for monitoring the process phases, for preparing progress reports on the implementation of the process, and for reporting to groups such as the local school board, the management team, site leadership teams, parent associations, the Department of Education, and various community groups.

The coordinator should have knowledge and experience in implementing effective schools research findings and be skilled in managing the change process. Experience in staff development will be an asset for someone in this position. In some districts, the coordinator will be given additional responsibilities.

What training will the coordinator need?

The specific change process is selected during the Organizational Readiness Phase, at the onset of the district's decision to restructure. Examples of change agent organizations that have provided the change process and diagnostic services to schools in the past are described in Chapter 4 where the Diagnosis Phase is explained. Once the selection is made, the district coordinator, if not already experienced in the selected change process, must be trained in the particular technology and methods of that process. Training may be provided by the company, organization, or consultant selected by the district to conduct the comprehensive diagnosis of the organization.

Others in the district will also receive training in the process, but this usually occurs after the coordinator has been prepared. Early training of the school principals is a priority because their leadership and support will be essential to ensuring the success of the reform effort. Principals will need to learn not only the process, but how they fit within this shared leadership model.

Selecting a Site Leadership Team

What is the site leadership team?

Once selected, the coordinator will begin to work with the principal on selecting the site leadership team. The site leadership team consists of seven to ten members of the school community who are willing to serve as key players in all phases of the process. These individuals will guide and facilitate the change process in the pursuit of the school's mission. They will represent various components of the school community but should be selected because of their enthusiasm, genuine concern for students, dedication to the school's mission, and ability to work together as a winning team. The importance of these qualities will become evident as the roadblocks to success are identified. In many instances, the existing school site council becomes the site leadership team to prevent duplication. In other cases, staff will want to reselect members and will establish a procedure to do so.

In general, the team should include the following:

- Principal.
- Categorical program staff member.
- Curriculum administrator or specialist.
- Representative sample of teachers in grade levels or curricular areas.
- Union representative.
- Secondary-level student.
- Counselor.
- Parent representatives.

What is the purpose of the site leadership team?

The purpose of the site leadership team is to serve as the internal body that oversees the entire change effort in the school. It is this group that leads the school in the various steps and procedures of the change process, from mission development and baseline data gathering to organizational assessment, planning, implementation, and evaluation. Because most schools find it practical and efficient to merge their school site council and the site leadership team into a single body, the site leadership team is, in those instances, the governing body with the authority to approve school plans and allocation for funds for School Improvement Programs (SIP), Senate Bill 1882 Staff Development, and School-Based Coordination Programs (SBCP). All decisions regarding prescriptive action plans are channeled through the site leadership team for review and for final approval for inclusion into the school's improvement plan.

Creating a preferred future through strategic planning is one of the leadership roles performed by site leadership team members in a decentralized system. These key leaders are encouraged to envision the school's future and to develop strategies to achieve that future. In C-LERN, this process, known as visioning, was used to develop the mission statement and was based on the belief that aspects of the future can be influenced by actions in the present. The mission, goals, and objectives developed by the school should reflect both this visioning process and the school's unique purpose, conditions, and needs.

District administrators and those who have been most directly involved in the decision-making process before the initiation of the site-based management system and the accompanying change process must be sensitive to the new collaborative nature of this system. They must remember to ask, "What is the site leadership team's position on this issue?" In this model, no school reform proposal goes forward to the district office without the backing of the site leadership team. This team becomes the governing unit of the school, empowered to make important decisions and to provide the backbone of the internal organizational structure of the school.

What will make the site leadership team successful?

The two most important elements that promote success in school reform efforts are training and leadership skills. Training in the selected change process and in leadership skills is crucial if schools are to be transformed as intended. Process training should thoroughly cover all the phases, steps, and technical mechanics; provide change management techniques; and outline expected outcomes. Sufficient time should be allowed for training so that participants are well prepared.

When a district makes the mistake of jumping into assessment and planning without first laying the necessary groundwork during Orientation, delays can result. Lack of adequate training makes it difficult for people to conceptualize the entire picture and thus become supportive of it. Staff and parents may be unsure about how the activities of the change process connect to each step and expected outcomes. They may not be prepared to carry out their roles and responsibilities. In the San Rafael school district, training in technical mechanics, change management preparation, and expected outcomes came during, not before implementation of the process and was delivered in brief, fragmented, confusing stages. Consequently, it took an extra six to eight months of backtracking to develop a clarity of purpose, understanding, and commitment to the process. "It was," as the superintendent frequently remarked, "like trying to change the tire while the car was in motion." Advance preparation and training of site leadership team members and school principals before embarking on the organizational assessment of a school makes management of the change process easier.

The second element that helps site leadership team members to be successful is effective leadership skills. Members are selected to represent various points of view in the school — grade level, subject matter, program specialties, counseling, and so on. Often members represent more than one of these roles, but the qualities of attitude and competence are more important than their representational function. The team can always seek information and views from

> *"If I had it to do all over again I would lobby for a one- or two-day retreat for principals and site leadership team members prior to beginning Orientation activities with the rest of the staff. A retreat would have helped to (1) build a base of understanding of the process and its mechanics; and (2) begin to create the collaborative team spirit and shared vision so necessary for a well-functioning team. People need to know up-front what is expected and how to do it; otherwise, too much precious time is lost, thus creating unnecessary obstacles to the entire process."*
>
> — Judy Colton, Principal, Coleman Elementary School

others not directly represented on the site leadership team. What teams need are members who believe in their work and who are willing to do what is necessary to succeed. Effective teams learn how to gain strength from the synergy of their divergent views, respect each other, and cooperate in pursuit of a shared vision. Some of the leadership qualities attributed to successful teams in a collaborative model are the ability to:

- Assess and understand organizational behavior.
- Accurately perceive and relate to the world beyond the local school.
- Be goal directed and issue oriented.
- Listen to others.
- Be receptive to new ideas.
- Take risks and initiate action.
- Acknowledge a mistake and move on.
- Interpret information accurately and draw conclusions.
- Formulate proposals and participate in discussions about them.
- Express ideas clearly and systematically.
- Persuade others.
- Arrive at and express accurate and pertinent assessments.
- Share responsibility for the work of the team.
- Participate as a team member in implementation.
- Support other team members in group process activities.
- Use consensus for reaching decisions.
- Manage change in the organization.

The coordinator works with the site leadership team members to train them for their new roles and help them to understand the reform process they will be responsible for leading. Skill development for group process, team building, problem-solving, planning, meeting management, and conflict management are important features of the training in addition to learning how to implement the process itself. The skill of the coordinator as a trainer will be a factor in determining who develops and provides this type of leadership training. The training can be conducted in collaboration with other staff developers, consortiums, county offices of education, school leadership centers, or the private organization or consultant if one has been hired to facilitate the organization assessment process.

To whom is the site leadership team accountable?

The site leadership team is accountable to school staff, parents, students, and, ultimately, the board of education for the actions it takes and for the results that follow. To be effective, the team must convey information on pending plans and decisions early enough in the process to allow others in the school's community the time to review and provide feedback and input before reaching a final decision. A site leadership team that communicates and provides for this process effectively will build consensus, commitment, and support for planned changes. Sharing leadership and consensual decision making, although slow processes, help to develop the advantageous "sense of ownership" discussed in Chapter 2.

Writing a Mission Statement That Sets the Focus

What is a mission statement, and who develops it?

The mission statement is a written definition of the school's purpose that establishes the school's overall direction. To establish a school's mission statement, members of the community develop a shared vision and translate that vision into a statement of philosophy and direction. Even if a school already has a mission statement, it will benefit by reviewing its statement and by going through the rewrite process. In this way, the school will rediscover and define that which is currently most important to the school community and its students and their academic achievement.

A school's mission statement should be the dominant theme of the school, frequently referred to and displayed throughout. The mission statement can be displayed prominently in the school office, classrooms, and just beneath the school newsletter logo. Focusing on the mission statement helps to highlight the purpose of the school and remind the school community of what it values. Because schools exist to educate the students the mission statement must speak to present activites that can be measured rather than futuristic goals that address the student as an adult.

> MISSION STATEMENT
>
> *The school community has the major responsibility to define the WHAT of the school — defining what is the purpose. The school has the major responsibility to define the HOW of the school — how the mission will be accomplished.*

The mission statement is developed by a mission statement team comprised of parents, school board members, business persons, representatives from community agencies, and the school principal. However, other alternatives may be preferable, such as having the leadership team develop the mission statement with increased parent and community representation or including teacher representation on the mission statement team.

The mission statement team members are generally nominated by the principal acting together with the school's leaders. Those who agree to participate are sent a letter of confirmation and notice of when and where the team will meet.

What are the steps to preparing a mission statement?

Once the mission statement team has been selected, a meeting to develop or refine an existing mission statement should be held facilitated by the change process coordinator or the school principal. An overview of the selected change process model should be provided to the team to establish how the mission statement is crucial to defining the direction of the school reform.

In developing a mission, the mission statement team will:

- Develop a school mission statement.
- Include diverse representation from parents.
- Focus attention on important themes.
- Understand the importance of parents' input into what the students are taught.
- Convey themes in concrete and simplified terms.
- Enhance responsiveness to the cultural diversity of the student population.
- Understand that people, not policies, produce excellence in the long run.

There are different group processes a team might use to do its work. One such process is described below as an example.

Begin developing a new or revised mission statement by discussing the role of the school and why it exists. Encourage involvement from all the team members by brainstorming for ideas. Display all input on an easel, recording the information for subsequent discussions. Discuss the ideas presented and list them in order of priority to support the development of a statement of the school's purpose. Using this information, a small subcommittee should be assigned the task of drafting a statement or a revised statement. When the subcommittee has completed its task, copies of the draft statement should be distributed to each committee member for comment. A second distribution of the statement that incorporates the full committee comments should be completed before a second mission statement team meeting. At this second meeting, following discussion and review, a completed mission statement can be finalized. The suggested mission statement should be presented to the entire school community through the site leadership team for consensus. (See Appendix B: Steps for Writing a Mission Statement.)

FIGURE 10

SAMPLE SCHOOL MISSION STATEMENT

The purpose of Oakville High School is to provide quality educational programs which foster significant academic achievement for all students and maximize each student's full potential in today's changing society.

To achieve this purpose, we believe the following basic components are critical:

- A learning environment which motivates students.
- A thorough understanding of state and local educational goals, objectives, and standards of excellence.
- Counseling and guidance services which are effective.
- Competent, enthusiastic, knowledgeable, and caring teachers.
- Capable and enthusiastic support staff.
- Appropriate and well-maintained facilities.
- Effective, goal-directed leadership.
- Curricula which is sequential and challenging to each student.

What happens once the mission statement is developed?

Translating the mission statement into action begins with the site leadership team. After the mission statement team has articulated the school purpose, the site leadership team will determine how the mission will be accomplished and oversee the implementation of these plans.

During Orientation, the site leadership team begins to "operationalize" the mission statement through therefore statements. For example:

The mission is to provide significant academic achievement for all students

- Therefore, the classroom will be the most important aspect of our school.
- Therefore, our limited resources will be focused on the classroom.
- Therefore, classroom interruptions must be kept to a minimum.

In other words, therefore statements will extend the mission to its logical starting point. Writing therefore statements provides school leaders with the opportunity to refine personal and collective commitments to the improvement of their school and open a vision of what the school can accomplish when there is consensus over how change will occur and who will be responsible. (See Appendix B for additional examples of therefore statements.)

Data Collection and Assessment of Need

What is the function of data in the change process?

Once it is determined that the change process philosophy is appropriate and accepted, the school undertakes a preliminary assessment of its strengths and weaknesses. The school does this by collecting information about its past performance and current status from a variety of sources. This information forms the foundation for the database and is used later in the process as a baseline from which to measure the school's progress after new strategies for school improvement have been instituted.

Developing the database is an essential, early step of the process because it renders a "picture" or school profile of past performance, strengths, and weaknesses on a variety of measures and provides valid factual information on school outcomes. The database will form a foundation for identifying and assessing relevant issues that will be explored next, during Diagnosis. It also will serve to provide specific indications of how well a school is performing in terms of its stated mission.

Why is management by data such a strong technique in this process?

Many schools do not traditionally collect and analyze data as a routine part of their decision-making system. These schools have not internalized that they are a composite of their strengths and *weaknesses* (S+W=1.00). Another way of saying this is, how do you fix something if you don't agree on what is broken. Staff members often are uninformed about the factual aspects of the school's critical performance indicators. They usually receive their information on school performance in bits and pieces so they seldom are in a position to view the complete picture of how well their school is doing. Decisions based on fragmented data and subjective perceptions alone can lead to improper priorities and activities and inappropriate expenditure of resources.

Management by data is a proven tool of highly effective organizations. When this practice is used in schools, a more objective picture about the quality and results of their reform efforts will emerge, allowing schools to determine more accurately if their strategies are working and if they are achieving the desired outcomes. Management by data adds an important dimension to a school's planning and decision-making process.

A second reason for promoting this technique is that "assessment information will cultivate critical dissatisfaction" (Glickman, Hayes, & Hensley, 1992) because it will reveal specific areas of inequities and deficits. Although test scores for the general population in a school may be high, for example, test data on subgroups identified by student race and gender may paint a starkly different picture about academic achievement and may demonstrate dramatically gaps in achievement between student groups. It is this kind of "hard" information that cultivates dissatisfaction and guides staff into rethinking priorities and developing new strategies for improvement.

An added benefit to maintaining a comprehensive data picture is that this information then becomes easy to access and is thus available when schools seek additional funding through grants or when they wish to publicize important improvements in the school's performance. Schools involved in the C-LERN model used these data profiles to a great advantage in obtaining additional resources.

What is contained in the database?

Using a results-oriented change process permits a school to measure its progress through various outcomes. Schools will be asking difficult questions that start with, "What does the data tell us about...?" By asking these questions, schools will begin to receive a more accurate picture of their effectiveness. While a data picture will vary from school to school, it will usually include such indicators as:

- Student performance on various forms of tests.
- Outcomes of student competency assessments.
- Multiple-year rates for dropouts and graduation.
- Data on student suspensions and absences.
- Teacher absence summaries.
- Staff development and academic preparation.
- Findings from attitude surveys.
- Budget information.
- School profile on selected characteristics.
- Enrollments and completion by course at the secondary level.
- Curriculum alignment per S.B. 813.

Data records of this type should be displayed so that each class can be followed over a period of at least three years. This allows the school to compare results and determine patterns or trends. Data are available from the district offices, county offices of education, and the Department of Education.

Examining the placement records for advanced placement classes, mathematics and science courses, and vocational education will reveal student enrollment patterns by gender, ethnicity, and race. These records will also indicate whether students at risk have obtained access to the challenges of the core curriculum — thereby providing them with the prerequisite skills for additional educational opportunities — or if they have been tracked into less demanding subjects.

FIGURE 11.

EXAMPLES OF TYPICAL DATA BY CATEGORY

CURRICULUM AND INSTRUCTION OUTCOMES

Achievement testing, e.g., Iowa Test of Basic Skills (ITBS), or California Test of Basic Skills (CTBS)

Results of testing
Student competencies testing
California Learning Assessment System (CLAS) examination results
Teacher and support staff assessments
Instruction related to extracurricular special events, (e.g., academic decathlon, drama club, student publications)

SCHOOL-PARENT RELATIONS

Teacher-initiated parent conferences
Parent voluntary participation in school activity
Communications from the school to parents
Teacher home visits and telephone calls to home
Number of parents participating in school site council, and committee meetings by category (e.g., Parent-Teacher Association, Parent Teacher Council, Academic Council)

USE OF INSTRUCTIONAL TIME

Hours devoted to noninstructional staff development, emergencies, and planned or unplanned noninstructional activities
Hours devoted to instruction and curriculum for certificated and classified personnel
Hours of formal classroom visits by administrative and support staff for purposes of supervision
Hours of instructional and curriculum improvements, by grade level

BEHAVIORAL AND MANAGEMENT ISSUES

Dropouts and loss by attrition
Suspensions and expulsions
Students exiting special education to be "mainstreamed" into regular education classrooms (decertifications)
Excused and unexcused absences
Retention rates
Teacher absence and turnover statistics

POPULATION CHARACTERISTICS (limited list)

Linguistic assessments of students by category
- African American
- Asian American
- Latino American/Hispanic
- Others

Student body and school employee population descriptions by race, national origin, ethnicity, sex, and for teachers and support staff, years of service and status (e.g., permanent or substitute) by category
Class size configuration by categories
- Regular
- Year-round school
- Magnet or specialized
- Special education

PLACEMENT RECORDS

Advanced placement courses
Vocational education and regional occupation courses
Enrollment in postsecondary education and advanced training

Another key consideration is the effect of the school in terms of the success of its graduates. Are students continuing their education and training after finishing or leaving school? Are they able to obtain employment? Hard data may not be available in this important category, but every effort should be made to observe and consider these student outcomes. Data of this nature can be highly valuable in the process and especially pertinent to parents and community representatives who will want to know if the school has been successful in preparing students for advanced education and employment.

The items shown in Figure 11 should be addressed in terms of the numbers, rates, and relative proportions because they will indicate, by hard data, the depth and scope of problem areas. It is also highly recommended that the data be displayed by category, grade, classroom, or program. This is especially true if there are significant student groupings, such as Chapter 1 and special education students, for example, whose progress through school may differ significantly from that of most of their classmates. Furthermore, a school may decide to track selected indicators more intensively than others because of a specific focus the school has established.

Under the School-Parent Relations list, information can indicate the frequency and nature of school-parent communications and will demonstrate, through the numbers, how many parents are involved in school and in what form this occurs. Determinants of the quality of these contacts will come from attitudinal surveys and overall changes in student performance as reported by teacher and parent observations.

The figures for items in the use of Instructional Time Category are best collected on a monthly basis because they allow the school to monitor and make swift adjustments in practices and policies based on the data. The school personnel should also maintain a list, by date, of schoolwide organizational activities for program assessment, reform or restructuring, including program quality reviews, compliance audits, and school accountability reports. This list should contain annotations to indicate the location of pertinent records to use for future assessments and planning activities.

Persons concerned with school reform need to understand the students they are aiming to serve. Population characteristics are important to the extent that they can reveal prejudices, privileges, and disadvantages over which the student has no control. An obvious example is data that indicate the student population and teacher population are quite dissimilar in racial and ethnic characteristics. These differences may be one of the contributing causes to a school's unique problems. Knowledge of the data can then lead to prescriptive actions taken by the school to reduce or eliminate those problems (e.g., multicultural inservice training or affirmative action). [Refer to *Access to Knowledge* (Goodlad & Keating, 1990), Chapter 9, for a full profile.]

ATTITUDINAL SURVEYS

Subjective measures regarding school outcomes add the human dimension to the school's data picture because they indicate how the school community perceives its school's effectiveness. These qualitative surveys are important measures of parent, teacher, student, administrator, and support staff perceptions, aspirations, and expectations. They can be very revealing, especially when combined with other quantitative findings, such as test performance and graduation figures. Data of this nature are collected by written questionnaire or through structured interviews. Because many schools already collect this information as part of the annual review of their categorical programs, trends can be determined over time.

Many districts have attitudinal surveys they prefer to use. What a survey contains depends on the information a school believes is important to know in determining school effectiveness. A listing of potential indicators a school may wish to include in its attitudinal survey are provided in Figure 12.

Who collects the data and in what format?

The need and use of data will vary with the size of the school and the district. In a large district, data probably are accessible and need only to be organized and presented in a useful form. In a small district, the needed data may not be easily accessible. Often the data needed are in reports to which the principal has access. In most instances, it will be the school's principal or designee, together with the coordinator, who will gather the information for the data profile.

Often the information sought is available from state-produced records such as the California Learning Assessment System (CLAS), the Consolidated Application Description Database, the California Basic Educational Data System (CBEDS), and the College Boards. Copies of these are sent to each district. These records are supplemented by locally-produced district and site records. The Consolidated Programs Description Database report is available for every school district and includes profiles that detail enrollment, ethnicity and language of students, program funding, staffing, and testing results. It also offers specifics on dropout rates by ethnicity.

After a data profile is assembled and its sources noted, updating the information becomes much easier. For example, if the source for the data about a school's dropout rate is located in the Consolidated Programs Description Database or the guidance or attendance office, then this information should be noted in the entry on the dropout rate so that in the future, others will know where to find this data.

After the data are compiled, they will be reviewed by the site leadership team, shared with the entire school community, and used to assess the overall performance of the school during the Diagnosis Phase.

When school personnel systematically maintain records over time on specific data about school performance, they are able to assess the information without difficulty. If they do not maintain systematic records, then this practice becomes much more difficult to implement and will require training in the management of a data-based system. The coordinator should be able to provide valuable training and assistance to schools in the collection, compilation, and interpretation of the data.

FIGURE 12

ATTITUDE SURVEY INFORMATION

DESIRABLE INFORMATION WHEN SURVEYING ATTITUDES

PARENT ATTITUDES

Parent's aspiration(s) for their children.

Parent's expectations of their child's achievement.

Parent's expectations of teacher performance.

Parent's expectations of teacher-home cooperation regarding child's schooling.

Parent's willingness to support schooling:

- at school
- at home
- in the community

TEACHER ATTITUDES

Teacher's aspirations for his/her students.

Teacher's expectations for his/her students by *type*, especially for students perceived to be difficult or to have limitations.

Teacher's expectations of others by *role*, e.g.:

- principal
- other administrator
- peer
- counselor
- resource teacher
- school nurse
- parent
- aide
- district administrators and support staff
- community leader(s)

PRINCIPAL ATTITUDES

Principal's perception of school's educational role

Principal's expectations of school staff by category

Principal's expectations of students by type

Principal's expectations of parents

Principal's attitudes toward the school's community

STUDENT ATTITUDES

Student's aspirations for self in school and afterwards

Student's expectation by role of significant others

Student's perceptions in selected categories, e.g.:

- what is important in this school?
- who are the adults in school who care for students?
- what difference does it make whether I learn anything in school?
- who are the people who make a difference in life?

What other documents are required during the Orientation Phase?

In addition to the database, three other documents are incorporated in the change process. These four elements together provide a picture of the structures, relationships, and possibilities for assistance, and a blueprint for action that sets the course and priorities for schools striving for meaningful change. Three of the four documents are prepared during Orientation — the database, the organizational design chart, and the matrix of resources. The fourth document, also introduced here, identification of obstacles, is developed during Diagnosis.

- Database: school data profiles on specific indicators of past performance and current status that form a complete "picture" of a school, enabling everyone to see areas of success and areas that need improvement as it relates to a school's mission.
- Organizational Design Chart: graphically depicts the reporting and working relationships of school administrators, staff, and faculty. Figure 9 on page 27, Site Leadership Team Model, offers an example of how a school might organize itself.
- Matrix of Resources: a document that clearly identifies, by category, financial, technical, and other resources available to a school. The availability of resources within the school allows expanded networking possibilities in the three- to five-year collaboration process. (See Figure 13, Model for Comprehensive Coordinated Resource Matrix.)
- Identification of Obstacles: at the heart of the problem-solving, planning process, this diagnostic document describes the critical issues that act as barriers to a school's effectiveness. Preparation of this document is followed by the prescriptive planning process during which the priorities are set and the strategies to remove those barriers are determined.

GETTING ORGANIZED

What is an organizational design?

The organizational design of a school is best depicted in a chart form and displays graphically the structural working and reporting relationships that exist within the organization. Its importance comes from the knowledge that the bureaucracy, those formal structural relationships in an organization, can either serve as a dysfunctional impediment or positive facilitator to achieving a healthy organization. One of the first tasks a site leadership team should address is reviewing its organizational structure to determine whether it is adequate to pursue and attain its mission. Clarifying the structural relationships, along with delineation of job descriptions, will enhance the processes for problem solving, decision making, and reporting. As the school begins to implement its reform strategies, new organizational relationships may emerge and require a redrafting of the organizational design. The flexibility to create these kinds of changes is indicative of increased organizational effectiveness on the part of the school.

Making Good Use of Resources

What is a matrix of resources?

Schoolwide reforms require internal and external resources in personnel, time, funding, training, technical assistance, advice, and counseling. Schools need to know where to turn for help as they begin the school reform process. It is useful to identify and display in a matrix format those programs, persons who provide expertise, funding sources, and services available to schools. One way to organize the matrix is displayed in Figure 13, Model for Comprehensive Coordinated Resources Matrix.

Collaboration should be a cornerstone and an outcome of the change process. The combination of effort and resources put forth by community agencies, businesses, foundations, institutions of higher learning, neighboring districts, county offices, and the Department of Education create partnerships and coordinated, comprehensive programs that can produce vast changes in the school system and its capacity to educate children. Knowledge of these sources and the willingness to reach out are two major prerequisites toward developing a collaborative approach to school improvement. A sample model of one school's collaborative efforts is charted in Figure 14.

Preparing Staff and Community

How does the rest of the staff and community prepare during the Orientation Phase?

The principle objectives during Orientation are to prepare the school community for the change process, secure a support base and sense of ownership, and lay a firm foundation for the diagnostic and prescriptive processes that follow. Therefore, a series of meetings are conducted to inform participants, in greater detail, of the activities and steps that lie ahead. During this phase, issues and barriers also are identified.

Earlier presentations during the Organizational Readiness Phase were more general and aimed at promoting the selected change process merits. Following the commitment to participate, further presentations explain critical planning and implementation concepts, such as:

- Site-based management and the role of the site leadership team.
- Consensus decision making and the communication process.
- Organizational process to identify and eliminate barriers to success.
- Strategic planning and action planning.
- How to get started with data management.
- Expectations and requirements of the process.
- Clarification of roles and responsibilities, including parents and community members.
- Impact of comprehensive change on a school system.

FIGURE 13

MODEL FOR COMPREHENSIVE COORDINATED RESOURCES MATRIX

RESOURCES WITHIN THE DISTRICT

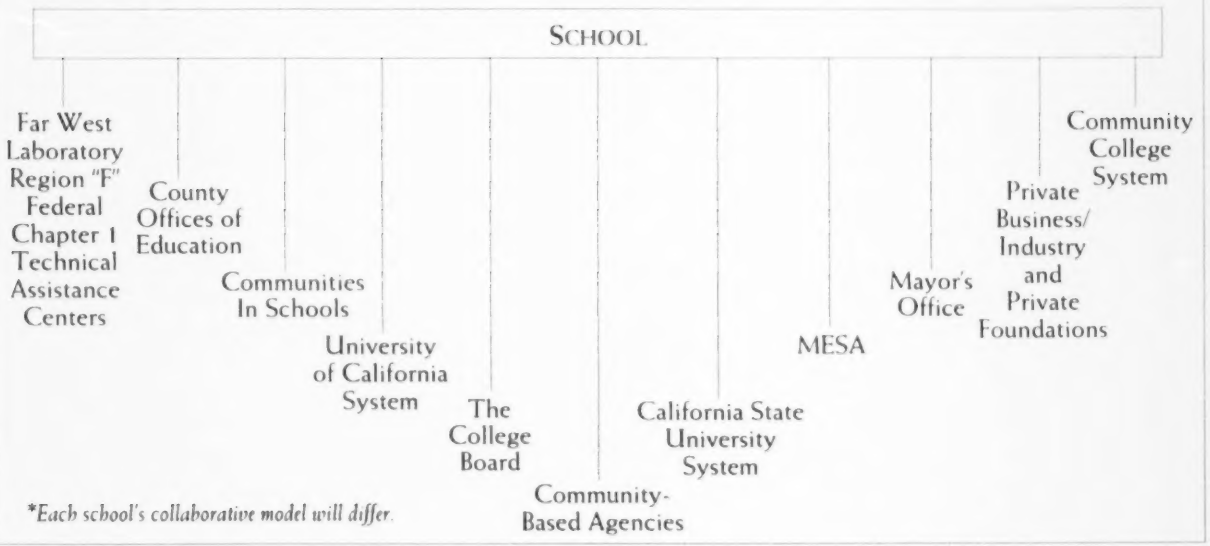
SCHOOL SITE	SCHOOL DISTRICT	LOCAL COMMUNITY
Special staff abilities	Curriculum	Business
Special parent abilities	Instruction	Industry
Established community support	Student support	Service clubs
Facilities	Bilingual Ed.	Police/Protective services
Organization	Chapter 1/SIP	Government agencies
Budgeted funds	School support	Community organizations
Special funds	Program evaluation	Fraternal organizations
PTA	Pupil attendance	Private consultants
Site council	Personnel	Professional services
Advisory committee(s)	Health office	Public library
Booster club	Food services	YMCA/YWCA
Special Ed./SELPA	Intra/Interscholastic	
Public transportation	Interesting places	

OTHER RESOURCES

COUNTY SCHOOLS OFFICE	CA DEPT. OF ED.	OTHERS
Professional Development Center	Curriculum offices	Business organizations
Credentials office	Curriculum frameworks	Funding foundations
Curriculum/Materials	Curriculum models	MESA
Assessment and evaluation	Categorical support	Communities in Schools
Pupil attendance services	Bilingual/Multicultural	Ed. Commission of States
Business/Finance services	Compensatory/Migrant Ed.	U.S. Dept. of Ed.
Administrative services	Program eval. and research	State organizations, e.g.,
Processing center	Child development	ASCD, CTA, SBA
Special education	Health Ed. and Services	National organizations:
Administrator training	Food Distrib./Nutrition	NAESP, NASSP, etc.
Media center	Textbooks	School Boards Assoc.
Advisory services	Restructuring/S.B. 1274	NEA Research/Services
Staff development	Career/Vocational Ed.	School Public Relations
ROP/C	School directories	Supplier services
School health/nursing	Various publications	Far West Lab./SWRL
	Staff development	The College Board
	Alternatives/Options	Universities of California
	Assistance by level	California State Universities
	Demographic/other data	California Community Colleges
	Special Ed.	
	Special schools	
	Adult Education	

FIGURE 14

A SCHOOL COLLABORATION MODEL*



The content, group composition, and number of these orientation meetings vary from school to school, depending on the "readiness stage" and local conditions of a school. For example, if a school has a tradition of shared leadership and an effective leadership team, it will be more advanced and knowledgeable than a school in which the principal exercises leadership alone. Other factors, such as size of the school and district, services available, and experience and expertise of staff in managing change, also affect the content of the presentations.

The important aspects to emphasize during these presentations are:

- Change process that will be followed and what is expected of participants.
- Rationale for viewing school reform through an organizational, systemwide perspective.
- Collaborative nature — both within the school and through external partnerships.
- Importance of parent participation throughout the process.
- How data will be used.
- Profile of school effectiveness.
- Relationship of the mission to envisioned student outcomes.
- Rationale for identifying, understanding, and dealing with all conditions for success, including the removal or circumvention of organizational obstacles in the system.
- What participants can expect during the change process.

How does the school prepare for Orientation Phase presentations?

Care in planning and preparation should be taken so that the objectives of these presentations are met and the school becomes ready to initiate the diagnosis. Sound practices for meeting management and facilitation should be followed. Planning must consider audience composition (school employees, parents, community representatives, business employers, and social agency representatives), meeting schedule, meeting facilitation, agenda, room arrangements, refreshments, and equipment. A well-managed meeting will be welcomed and set the tone for how the change process will occur and be implemented in a school. Suggested meeting agendas, preparations checklist, and an orientation planning guide for principals are described in Appendix F as a guide when arranging Orientation Phase presentations.

It is suggested that the principal chair the meeting and the change process coordinator facilitate it. This combination will demonstrate the involvement and support of the principal and the importance of the coordinator to the process. It will also provide an opportunity to model effective meeting management techniques that should be employed in the change process.

ORIENTATION COMPLETE

Orientation concludes when the following tasks are completed:

- ✔ The coordinator has been selected and trained.
- ✔ The site leadership team has been formed.
- ✔ A mission statement team has been established.
- ✔ The mission statement has been written.
- ✔ The therefore statements have been developed.
- ✔ A school profile based on the database has been created.
- ✔ The organizational design has been charted.
- ✔ A matrix of resources has been developed.
- ✔ The school community has been prepared for the change process.

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CHAPTER 4

RISK ASSESSMENT: DIAGNOSIS

"There can be no greater success than the elimination of our failures."

— Kent Stephens, founder
Leader in Organizational Change

Before a school community can design a plan of action to improve its school system, it must know what's wrong with it — specifically, what's not working and what, within the system, prevents all students from achieving in school. Obstacles to learning can range from a system problem, such as inadequate coordination and planning between specialists and regular classroom teachers, to individual issues, such as the tendency of some teachers to avoid instruction in some curriculum areas.

Collection of this type of diagnostic information is known by several terms depending on the specific process employed (e.g., "needs assessment," "program quality review," "fault tree analysis," "failure avoidance," "process decision programming," "situation analysis," and "risk assessment"). These terms refer to comprehensive organizational assessment, which in this manual is referred to as "diagnosis through risk assessment."

During the Diagnosis Phase, all aspects of schooling — the learning environment, curriculum, and instruction — are examined and input is collected from all corners of the school community. In this step, schools confront perceptions of community members, students, administrators, and classified and certified staff. When performed well, Diagnosis results in the clear identification and ordering of real or perceived problems which appear to interfere with a school's capacity to function effectively. Findings from Diagnosis emerge when consensus on the school's most critical issues or obstacles is reached. These findings give the school leverage, focus, and direction for the fundamental changes to follow.

Diagnosis enables a school to target specific issues to be resolved through planning and implementation of prescriptive strategies, thus clearing the way for the school to achieve its mission. The aim of Diagnosis is to identify obstacles in the system that prevent success and lay the planning groundwork for their removal.

Chapter Highlights

- Clarifying Terms
- Analyzing the Situation
- Atmosphere for Change
- Selecting Change Process Organization or Consultant
- Conducting the Organizational Assessment
- Reporting to the School Community
- Diagnosis Complete

CLARIFYING TERMS

Why is the term "diagnosis" used?

In medical terms, diagnosis is a process whereby a person's symptoms of disease and injury are examined to determine the precise cause of the problem. Following the doctor's prescription for a medical intervention to improve a patient's condition (e.g., treatment strategies of medicine, rest, diet, or surgery), corrective measures can be taken to restore the individual to health. Several prescriptive interventions may be required, depending on the findings of the diagnosis. The medical profession holds high the standard for accurate diagnosis because an individual's health — perhaps even life — is at stake. The public expects no less.

The diagnostic-prescriptive model also applies to the teaching profession. To discover the precise causes of current or potential critical issues in a school and to devise appropriate solutions to correct those problems, the organizational systems of the school must be analyzed. The diagnostic tools educators use to conduct this internal diagnostic analysis are organizational assessment methods. The more accurate the diagnosis, the greater the probability that appropriate corrective measures will be taken to increase student achievement. In education, children's futures are at stake; the high standard employed by educators is school effectiveness to a degree that gives all children the opportunity to develop to their fullest. Here, too, the public expects no less.

Diagnosis pinpoints the gap between beliefs and practices.

An accurate determination of an organization's health begins with a thorough diagnosis. Assessments of social institutions and mathematical cause/effect relationships from engineering, business, and computer science disciplines are combined in the diagnosis.

What is the importance of a schoolwide diagnosis?

All too often, schools treat the "symptoms" instead of the causes of the problems they face. Uncovering the real causes is difficult to do because of the complex nature of schools. Schools are social organizations with interrelated systems. Issues do not occur in isolation, but they are often handled as though they do. To treat a problem in a school, not only the problem must be examined, but also its impact on and interaction with other segments of the system. To do this, a school must determine precisely what stands in the way of achieving the mission. Once a school discovers what those roadblocks are, it can then begin to prescribe the strategies to eliminate the roadblocks and increase the potential for successfully achieving the mission.

Analyzing the Situation

How does a school community prepare to assess itself as an organization?

During Orientation, the school community completes specific prerequisite tasks in preparation for the Diagnosis Phase: the assessment of the organization. If a school, for some reason, has not completed all the basic tasks during Orientation, it will find itself under a strain to catch-up. For example, the findings in Diagnosis specifically relate back to those tasks because they constitute the foundation for the needs assessment of the school: the mission statement, the organizational design, the matrix of resources, and the database. If these key elements are not in place when Diagnosis begins, a school will have difficulty sorting out what the intended targets are and determining which structures or practices will have to be changed.

Furthermore, if leadership roles were not established and defined during Orientation, then the process can fail for lack of active direction and advocacy. For these reasons, the coordinator, principal, and site leadership team must be identified and instructed on their roles and responsibilities so they will be prepared to lead the school community through the change process.

How does the mission statement fit into the Diagnosis Phase?

The entire assessment should relate directly back to the stated mission of the school and reflect all conditions and issues in the school that interfere with achievement of the stated mission. The central, underlying question of the diagnostic process becomes, which elements function as roadblocks to a school's success?

Atmosphere for Change

How will teacher attitudes affect the Diagnosis Phase?

Some teachers and staff will be quite receptive to diagnosis and will look forward to the insight and help in making changes in the system. These people will be more positive about the process, hopeful about the outcomes and even relieved that help has, at last, arrived. Others, however, will express negative attitudes, such as: "We don't need another assessment. We already know what the problems are." "How can any outsider, unfamiliar with our school, appreciate and successfully deal with problems here?" "I've heard about so-and-so school and reform didn't work for them." "I have no time for this. Just leave me alone, let me teach and handle my required paperwork."

Negative attitudes fall into a category of organizational change called "resisting forces." These forces can impede the change process and contaminate the findings of Diagnosis. Thus, it is all the more important that the district coordinator be sensitive to attitudes and demonstrate skill in addressing those feelings of skepticism, denial, and animosity. Sometimes concerns may go unexpressed for fear of unwanted consequences. It is unwise to brush aside the concerns, complaints, and issues that will be felt by staff and parents. Experience clearly shows that careful preparatory work is needed between the time the change agent organization or process consultant is selected and the initiation of the diagnostic process. A competent change agent who is familiar with and understands these normal expressions of doubt and resistance can build rapport and trust by anticipating and dealing with these concerns through information, coaching, and resource gathering as the process unfolds. By demonstrating from the outset that they care about participants' feelings and fully intend to address them, the coordinator and the school leadership team will validate themselves in the view of the staff and school community.

When is the best time to begin the Diagnosis Phase?

Schools have found that the best timing for Diagnosis is close to the end of a school year so there will be time to achieve positive results within the next school year. The initiation of a collaborative change process acts as a catalyst that energizes and focuses the entire school community. Information gained during this phase motivates and empowers school staff to begin the change process.

Through intensive summer institutes that school staffs participate in, a team effort is developed along with the necessary shifting of existing paradigms. Schools that have participated in this change process have used the spring to identify the members of the change team. These teams, from the triad of schools — elementary, middle, and high school — participate in summer institutes with national leaders in all realms of education and child development. This infusing of applicable new knowledge and skills, along with a renewed vigor, is the catalyst for the change teams to develop action plans. By the fall, schools are ready and eager to initiate their plans for comprehensive change.

By the end of that first year the school will have begun to benefit from the innovative strategies and structural changes it has implemented. These early benefits are demonstrated evidence that the process works. The demonstration of success is an important outcome because it can lead to expanded support and increased motivation to continue the change process into the next year.

OBTAINING TECHNICAL SUPPORT

Who will provide the diagnostic service?

It is important not only to assess the organization in a manner that encompasses all elements and segments of the school community, but also to select the process that will most effectively serve the school for this purpose. Selection of an assessment method or change agent consultant to facilitate is of paramount importance. Selection should be done carefully by examining all options and opportunities available.

If a district has an employee who is skilled in organizational assessment and managing change — perhaps a principal, staff development director, or assistant superintendent — this individual can be assigned to coordinate the assessment. However, because most districts do not have on their staff change agent facilitators specifically employed for this purpose, nor do they have comprehensive assessment instruments for organizational analysis, they will need to seek the services of private change agent organizations, organization development consultants, or county offices of education who specialize in this type of work.

FIGURE 15

STEPS TO SELECTING A CONSULTANT

1. Obtain descriptive information about all prospective facilitating organizations or individuals.
2. Screen through review and analysis of the documentation supplied by and about each.
3. Narrow the pool for selection to the top candidates, with consideration of such factors as:
   demonstrated competence and success; attitude toward the site leadership team, the school, and the school community; availability at the time their services will be needed; and cost.
4. Interview representatives of prospective facilitating organizations on how they will proceed, if selected. Ask for a demonstration of services and products.
5. Enter into a written contract directly with the selected service provider.

When is the change agent organization or consultant selected?

The change agent organization or consultant whose diagnostic process will be used should be selected before the Orientation Phase is begun, but may be deferred until after Orientation is completed. The earlier this decision is made, however, the easier it will be to coordinate the activities of the Orientation with the requirements of Diagnosis. A suggested procedure for selecting the change agent organization or consultant for Diagnosis is set forth in Figure 15.

What will be the expected outcomes from the Diagnosis Phase?

Following the completion of the organizational diagnosis, a school should expect to achieve the following:

- An objective analysis of the obstacles that hinder a school's success.
- Identification and separation of the most critical issues from the numerous, less important concerns.
- A "blueprint for action" based on consensus that ranks the most important issues and targets them for corrective action to be developed during the Prescription Phase.
- A significant degree of ownership of the findings by those in the school community who participated in the process.
- A review of the report of findings by the site leadership team in strategic preparation for the next step.
- Identification of issues amenable for immediate corrective action.

Conducting the Organizational Assessment

What are the steps in the Diagnosis Phase?

A school may use different methods to conduct its diagnosis of the system. Some schools are beginning to use the scientific methods of the Total Quality Management approach. Others use Program Quality Review criteria as a guide. Still others have sought county offices, such as in Sacramento and Santa Clara, that took a leadership role in the effective schools movement.

The principal steps in Diagnosis outlined in this manual originate in the process being applied by the CEDSA Project in school districts. This diagnostic approach is an interactive, organizational analysis based on fail-safe technology. It differs dramatically from other organizational diagnostic approaches in that it is predicated on a failure-avoidance analysis, a procedure that deliberately examines the system and seeks to identify for removal or correction the most important barriers to school improvement. This process collects input about critical issues from all segments of the school community, compiles responses into a computerized database, and ranks results based on a consensus format.

A failure-avoidance approach traces identified obstacles to their root causes, rank orders them, then outlines a proactive plan to identify and eliminate deficiencies, waste, and potential failures. This provides schools with an efficient change management tool. In contrast to other types of assessment techniques, failure-avoidance strategies identify what should not be and allow people and organizations to find creative ways to move from where they are to where they want to be. Samples of selected critical issue analyses can be found in Appendix C.

Step 1: Needs Assessment

Needs assessment in this context extends the school beyond orientation activities and into specific diagnostic procedures. Typically, when schools conduct a needs assessment relating to student achievement, they are really asking people to identify their wants and desires. Sometimes this occurs when the school's mission has been identified, sometimes it does not. The list of needs may not have any relationship to the school's mission. How a school gets its needs fulfilled is through the allocation of resources, also known as "success drivers." The problem, however, is that this approach usually fails because there are not enough resources to fill prioritized needs, low priorities are ignored, the needs often have little relationship to the stated mission, causes of deficiencies are unclear and school administrators are placed in the untenable position of being seen as "deniers."

Rather than asking about what you need, a different set of questions should be raised: "Where are you hurting? What are your concerns? What gets in the way of achieving your goals? What are the obstacles? What should not be?" Asking these types of questions, then prioritizing their importance in the process, is more effective and efficient. Decision makers are provided with information with which to sequence their actions: to correct or remove elements that block school effectiveness and present a risk to success or potential failure of the system. The shifting to a failure-avoidance approach is also cost effective, not only because the diagnostic process can be conducted within the framework of weeks, but because the information produced can lead to a more appropriate allocation of resources in accordance with identified priorities. This approach also repositions school leaders into the more positive mode of relieving hurts and concerns.

In a failure-avoidance model, needs assessment takes the school's goals, mission, and aspirations and breaks them into four basic components.

- Governance issues.
- Core business (the classroom).
- Support to core (e.g., auxiliary services and staff, transportation).
- Community external factors (networks, alliances, and partnerships).

In developing CEDSA projects, a school database called a mission diagram is used. It contains the above four categories and more than 300 objectives (nonpersonalized examples of resisting forces that hinder student achievement and cause a school to fail its mission). The school community is asked to react to the data in terms

of the uniqueness of that particular school. Parents, students, teachers, support staff, administrators, and community representatives, all of whom are concerned stakeholders in the school system, participate in responding to the data. Their responses are compiled and represent the first sorting through of actual or potential deficiencies associated with the classroom, administration, support services, parental and community involvement, and other categories in which there are obstacles that impede student achievement.

Use of a comprehensive databank reduces the possibility of overlooking important factors while at the same time eliminates from further consideration issues that have little or no application to a particular school. Because insignificant issues are deleted at this step in the process, precious time and energy can be saved and channeled toward the significant issues a school faces. No effort is made at this stage to attach significance to any of the actual or potential school deficiencies. That will come during Step 2. Typically, this step takes from three to five days, giving staff and others sufficient time to participate. It can be conducted during the Orientation Phase or at the beginning of the Diagnosis Phase.

Resisting Forces

Political
Vested interest
Inertia
Organizational
Preservative

The purpose of the needs assessment is to expose a school's deficiencies so they may, by the end of the diagnostic process, be targeted for elimination according to the school's priorities and resources. In a highly complex system, such as that found in schools, the potential for failure is made greater by the existence of resisting forces that can prohibit action and slow down progress for change. These forces act as a heavy drag on the system and are too strong and too costly to be overwhelmed or eliminated by direct assault. Instead, prescribing strategies to weaken the contributing causes of resisting forces seems to work best in removing them. The path to failure differs in every school; the specific causes of failure are unique to each school.

Step 2: Risk Assessment

The initial responses regarding a school's deficiencies are organized and returned to the school community for the second step, risk assessment. Risk assessment involves the identification and placement of actual or potential failures within the school context. Using logical cause and effect relationships which indicate the contributing factors to a particular problem, the deficiencies are then compared and ranked according to probabilities for failure from the most critical to the least critical. At this point input is quantified from individual responses into collective judgments about the significance of an issue in relation to achieving the school's mission. What this interactive technology process does is provide decision makers with knowledge about which deficiencies (specific causes of failure) are the most critical, which should be remediated, and which are acceptable, and in what order. The combination of needs assessment (diagnostic services) with risk assessment (diagnostic technology) comprises the Diagnosis Phase. By using failure-avoidance analysis, a structure is formed for prescribing specific, new pathways to school effectiveness.

Reporting to the School Community

Step 3: Analyzing and Reporting the Findings

After the risk assessment analysis is completed, the findings are formatted into strategic paths and reported back to staff and parents by the change coordinator or consultant responsible for Diagnosis. For maximum impact the report is co-presented in conjunction with the principal. This is a local option based on what seems most appropriate for the school. Even though the Diagnosis Phase yields findings that have been validated — well analyzed and weighted for significance by the procedures described in Steps 1 and 2 — the site leadership team should review the report of findings carefully before problem-solving, planning groups (referred to as "primus groups" or "quality achievement action teams") are formed and assigned to specific categories for prescriptive planning. (Further explanation of quality achievement action teams is provided in Chapter 5.)

Reporting the diagnostic findings is a major step and occurs after all segments of the school community have made a significant investment in the diagnostic findings. At this stage, participants will feel a sense of ownership. Consequently, care should be taken in planning, preparing, and reporting this step through the principal's letter or school newsletter. Summarizing the report's strategic paths is also helpful in developing the support and understanding of the parents who were unable to attend the special meeting.

Each change agent organization or consultant will have a formal and efficient method of eliciting participant responses and of presenting the findings from the Diagnosis Phase. Because the methods will differ, the choice of the change agent consultant or organization will determine the specific, formal procedures that a school will follow in the Diagnostic Phase.

What happens after the report of findings is presented?

Typically, a review of the report of the findings is conducted by the site leadership team to determine the relative strength or weakness of the reported obstacles. This review of the findings is conducted for two reasons. First, the step of analyzing and evaluating the findings is intended to strategically and efficiently prepare the organization for the Prescription Phase. In other words, the team will categorize and rank the findings so that they may be assigned, by manageable categories, to action planning teams for study, problem-solving, and the planning of prescriptive strategies. The assignment of these findings marks the beginning of the Prescription Phase.

A second reason for the site leadership team review is to identify important factors or issues that can be improved by prompt corrective action. By taking such action, the school will enjoy and celebrate some success and "payoff" immediately, thus gaining encouragement from the experience to tackle the harder issues.

Parlier High School had received only two-year accreditations from Western Association of Schools Commission (WASC) review in recent years. The principal and staff, determined to overcome problems associated with previous reviews, decided to use the failure-avoidance diagnostic process to assist in the next review — especially in the area of curriculum. By incorporating Diagnosis, Prescription and Intervention Phases into the planning teams, and with help from an organizational change consultant, the school was able to meet all self-study and other WASC requirements. It was awarded a six-year term of accreditation.

Glendale School exemplifies this principle. The site leadership team found it had five or six operational issues that seemed minor in and of themselves but that, in combination, served as major work environment irritants to teachers, contributed to low staff morale, and distracted staff from paying attention to the more important issues in the school. One of these items concerned the staff copy machine, which frequently needed service. This issue represented a disempowerment for teachers, making them dependent on office staff. A quick and satisfying solution (providing maintenance training to the teacher in charge) was found, thereby eliminating this issue as a source of irritation in the daily lives of the teachers. Small item, big payoff! Another item, intercom announcements that caused frequent interruptions to classrooms, was a relatively easy issue that was quickly corrected. Of course, most issues are more complicated than those two and do not lend themselves to such easy solutions, but the ones that do should be dealt with promptly.

In fact, an astute, proactive principal (new or veteran) can take administrative action, following the report of findings, to eliminate quickly as many issues as possible under that position's direct control. For example, before a Western Association of Schools Commission (WASC) review, the report of findings can be used as part of its self-study. These findings, for the principal, are valuable tools for changing the climate and culture in the school and pointing the way for future actions.

As in all steps of the change process, Diagnosis encourages input and participation from every source and from every segment of the school community. The promotion of collaboration and partnership is an important aspect in the transformation or restructuring of schools. Input from parents, students, and community leaders adds valuable insight and perspective to the Diagnosis. Extensive involvement in Diagnosis by all concerned participants enables a consensus assessment picture to emerge without which schools have little chance of real progress toward positive change.

DIAGNOSIS COMPLETE

The Diagnosis Phase concludes when the following tasks are completed:

- ✔ The change process for organizational assessment has been selected.
- ✔ The change agent organization or consultant has been selected.
- ✔ The coordinator, principal, and site leadership team have been trained in their roles and responsibilities in the Diagnosis Phase.
- ✔ The staff, parents, and other participants have been prepared for the Diagnosis Phase.
- ✔ The diagnostic assessment process has been completed.
- ✔ Results of assessment have been analyzed and presented in the Report of Findings.
- ✔ Findings have been reviewed by the site leadership team in strategic preparation for the Prescription Phase.

CHAPTER 5

QUALITY ACHIEVEMENT: PRESCRIPTION

"It is no one's fault that things are as they are, but it will be our fault if things stay as they are." — Shirley Thornton, Deputy Superintendent Specialized Programs Branch California Department of Education

The Prescription Phase, part one of Quality Achievement, is the collaborative, planning phase of the change process that gives the school community the opportunity to take the critical problems identified during Diagnosis and do something about them. During the Prescription Phase all segments of the school come together into working teams to explore alternatives and decide on solutions. Prescription is the time when these teams prepare action plans outlining innovative ideas to fix their problems and identify the activities, resources, responsible individuals, time lines, monitoring methods, and evaluation procedures that will be employed to implement these strategies. This chapter features the "Who," "What," and "How" of prescriptive planning. It also describes a decision-making, communication structure that promotes the efficient flow of information, participation by all segments of the school, and the building of consensus before final decisions on plans are made.

Chapter Highlights

- Organizing for Site-Based Management
- Roles and Responsibilities
- Organizing for Planning
- Building Consensus: A Decision-Making Communication Model
- Time Lines for Planning
- Preparing for Implementation
- Prescription Complete

ORGANIZING FOR SITE-BASED MANAGEMENT

How is the school's mission statement translated into action?

Prescription is the planning phase in the change process. The first step of this phase is identifying the "How," that is, strategies to translate a school's mission statement into action. This phase involves a problem-solving, results-oriented approach that bases decisions about programs and services on a consensus model of agreement. Prescription is a participatory process that cultivates open communication, reflection, inquiry, discovery, and creativity. It is also a team-building enterprise because it values collaborative efforts for the common good over individual, competitive special interests that may have prevailed in the past. It is a process that tests innovation against current realities, asks "What if..." and "Why not..." types of questions, and explores many options in search of strategies to remove the critical obstacles to achieving the school's mission.

Innovative, "break the mold" thinking is encouraged as a means to transport people from old, tired options to creative new alternatives — fresh ideas often untried before in the school setting because people were timid or too constrained by bureaucratic restrictions to venture into new arenas. One of the features of this change process that makes it appealing is that the process moves decision making closer to the place of implementation. In this model, the traditional power structure in a school system is inverted, enabling teachers, principals, students, and parents to have a greater role in shaping the learning environment of the school. This paradigm shift, also known as the "inverted pyramid" model, can greatly increase teacher effort in the problem-solving and planning process because it provides everyone with the opportunity to become a creative agent of change. Parlier High School, for example made a dynamic shift when students were encouraged to try new ideas.

Prescription is a time of hope: If we have a plan, then we have direction, a sense of purpose, a commitment to act, and the possibility of realizing our dreams.

As part of translating its mission statement into action, the staff at Parlier High School included the students in the decision making process. The students expressed concern about the low California Learning Assessment System (CLAS) scores and the embarrassment of having them published in the newspaper. The image of the school suffered. The students decided to tell their classmates about the importance of the CLAS scores. The school staff and students focused on improving the scores. The students set their goals. They started a campaign similar to a fund-raiser, with posters and rallying messages. As a result, students had an immediate, tangible academic improvement goal. At the next testing session, they surpassed their goals and made a giant leap of 39 points in math and 40 points in reading.

Prescription is a dynamic, interactive, inclusive process. Anyone in the system can be the source of ideas for positive change. Everyone can play an active, responsible role in team planning and preparation for Intervention, the implementation step. It is interesting to note that many of the skills and behaviors adult participants adopt during this process are the same skills and behaviors teachers are encouraged to model and teach to their students.

cooperation, mediation, negotiation, win-win thinking, inquiry, divergent and lateral thinking, withholding judgment to allow for the flow of ideas, visualization, analysis, synthesis, and evaluation. The adult learning that occurs while planning for change spills over into the classroom where similar behaviors are encouraged of students (e.g., informed decision-making process, problem analysis, consensus building, negotiating, mediating, facilitating).

An example of the connection between the change process, classroom dynamics, and the school's mission can be seen in the case of a high school history teacher in a C-LERN school. This teacher realized he had significantly changed the way he taught his students as a result of his participation in the change process. He had restructured his method of instruction to encourage more group interaction, communication, analysis, and inquiry dynamics — skills that incidentally, he had learned to use in the action planning teams. His role had shifted from a traditional practice of teacher-as-lecturer and sole source of knowledge to that of a coach and facilitator-of-learning. He claimed the dynamics of learning in his classroom had been transformed and that he would never again teach his students or organize his class in the top-down controlling manner he had used for so many years.

For teachers and students, changes such as these exemplify the transformation of the school's mission into a dynamic reality. In the words of Suzanne Soo Hoo, author of *School Renewal*, "They became empowered as problem solvers, risk takers, and innovators." Change is the fuel that energizes "the transformation of both the school environment and students' learning situations...leading to a reorientation of school norms,...and opening up learning opportunities for all children" (Soo Hoo, 1990). People in the school system, like the history teacher, learn and apply new skills as a result of the training and experience they receive through the change process. Multiply one teacher's experience by many, and the widespread impact of transformation can become more apparent.

Roles and Responsibilities

The development of collaborative work skills is an important outcome of the prescriptive planning process. Through the active participation in the collaborative change process, conditions that value every participant's contributions regardless of title or position are established. In this process, "Who does what" is defined according to a school's organizational structure but when working in teams, all participants work as colleagues and teammates, sharing equal responsibility for the leadership and efforts of the team.

After the Diagnosis is complete and the report of findings has been presented to the school community, problem-solving teams, called quality achievement action teams, are formed and asked to perform specific tasks. These planning teams are also known by other names such as primus groups or action planning teams. Membership in these action teams may be determined by assignment or by request, depending on the procedures established by the site leadership team. It is important that teams be balanced in terms of compatibility, expertise, specialty, and experience. Cross-department, cross-grade-level, and categorical representation in quality achievement action teams is also desirable because the strategies devised by the teams will be implemented schoolwide and so must take into consideration the diverse perspectives in the school.

A recent approach to these planning teams is to reduce their member numbers to a more functional level to minimize the scheduling conflicts that invariably occur when trying to schedule meetings. Schools in the CEDSA Project in Los Angeles and San Francisco have created two- and three-member planning teams. These teams not only have been given the responsibility to develop plans for treatment but also are empowered to carry them out once the plans are approved. With this approach, the Prescription Phase is expedited and the school is able to move more quickly to implement teams' plans.

The roles and responsibilities of each group or individual are described briefly in Figure 16, with further details provided as the steps and tasks are explained. Regardless of the subgroup to which an individual belongs, it is the school's responsibility to develop and implement reform strategies and the central office's responsibility to support the school in its efforts.

Organizing for Planning

The action planning during the Prescription Phase identifies three elements:

- Strategic targets of change, i.e., long term goals.
- Schoolwide strategies to achieve the change, i.e., the "how" of implementation.
- Outcomes that are expected from the change, i.e., identified, anticipated effects.

Planning is a school's mechanism to reduce random, fragmented actions, promote more efficient use of resources, and greatly increase the likelihood of achieving intended outcomes. Because the entire school community, having reached consensus on direction and strategies, moves together toward common goals, the effect of schoolwide shared goals and shared efforts gives a school real power to realize positive, fundamental changes. How these groups are organized, trained, and supported to complete their mission is central to the success of the change process.

How is the site leadership team organized?

The site leadership team, established during Orientation, is usually chaired by the school principal. This team is responsible for the strategic planning and decision-making process of site-based management. Empowerment of this group represents a fundamental bureaucratic change in the system — a restructuring of relationships in the decision-making process — and recognizes two key assumptions about leadership in today's schools:

- No individual alone can provide a school organization with solutions to the many complex, competing problems that exist.
- Decisions are best made by the people most directly responsible for implementing them.

Superintendents can not do it alone. Principals can not do it alone. Distributing power throughout the system and sharing the responsibilities of leadership strengthens the capacity of a school to generate fresh ideas

FIGURE 16

ROLES AND RESPONSIBILITIES OF INDIVIDUALS AND GROUPS IN A SITE-BASED MANAGEMENT PROCESS

CHANGE PROCESS COORDINATOR

Mentors, coaches, supports SLT, principal and quality achievement action teams in planning for change. Mediates and serves as liaison with district office.

PRINCIPAL

Is dynamic leader supporting process; mediates, schedules, advocates, communicates, facilitates, gathers resources, plans, serves as spokesperson.

SITE LEADERSHIP TEAM (SLT)

Shares leadership. Sets up planning teams and tasks. Oversees process and timetable. Approves and incorporates action plans into SIP/SBCP school plan.

QUALITY ACHIEVEMENT ACTION TEAMS

Develop prescriptive action plans to solve school problems. Members represent all segments of the school community.

PARENTS

Serve as team members on SLT and planning teams. Represent parent point of view. Community leaders may also serve on SLT and planning teams as part of collaborative partnership.

STUDENTS

May have active representation on SLT and planning teams on secondary level; may be consulted at middle and elementary level through student councils and class meetings.

DISTRICT OFFICE STAFF

More supportive, less directive. Helps school carry out innovative plans with needed resources (i.e., training, meeting and conflict management, planning, coordination with other schools; helps schools follow local/state/federal parameters while operating in new paradigm.

SUPERINTENDENT

Honors the inverted pyramid model according to parameters set for sharing decision-making powers; supports process through creating systems that encourage risk taking, consensus, and participation in shared leadership model; advocates for process before board, staff, and community.

SCHOOL BOARD

Supports site-based management by allowing participatory process to work; seeks site input through the change process for policy and budget decisions; seeks to understand unique needs of sites through presentations and site visits. Approves planning and staff development release time as permitted by state laws and contract provisions.

on how best to meet the unique needs of its students. The benefits are felt throughout the organization, with results leading to improved student performance and improved leadership.

The site leadership team consists of seven to ten people who represent various segments of the school community. If the site leadership team also serves as the School Improvement Program (SIP) Council, then the membership/parity criteria of the number of staff to parents or others must be honored. A sample list of representative membership of this group was described in Chapter 3. The organizational design and composition of the leadership team differ from school to school. In most of the C-LERN change process model schools, especially the elementary schools, the site leadership team also served as the SIP and/or School-Based Coordinated Program (SBCP) Council, a governance structure already in place, but whose functions expand under the change process.

High schools, while making the transition from central office to site-based management during the change process, will sometimes maintain parallel or previously organized structures, such as faculty councils. In most cases, however, high schools come to realize that it is confusing, burdensome, and inefficient to continue with parallel structures. Instead, new or redefined group structures with revised authority emerge as schools struggle to create an effective organizational model for school improvement. Each school, with the support of the principal, the coordinator, and district office personnel, decides for itself what organizational structure will work best.

One of the most noticeable, restructuring outcomes to emerge early in the process is the empowerment of the site leadership team and the recognition of its role and legitimate authority. It is this team that is positioned to "see the bigger picture," to think and act in global, schoolwide, and cluster-wide terms. The team becomes responsible for coalescing the school's improvement plan and for allocating the resources necessary to apply that plan. Therefore, selection of highly respected staff members, parents, students, and community members to the site leadership team is of utmost importance because these are the people who will function as the advocates of the change process. These are the school leaders who will support two of the most powerful themes of the change process: shared decision making and collaborative roles. They will be guided by the school's mission. They must demonstrate enthusiasm for the effort and take responsibility for ensuring that the process goes forward as designed.

A key point to be understood and underscored throughout the reform effort is that the various process elements and reorganized relationships (e.g., the planning process, shift to site-based management, and shared leadership) are the structural means intended to lead to the following benefits:

- Improved equity and access for students who have been historically left out.
- Improved organizational capacity to deliver an enriched core curriculum effectively.
- Increased learning and growth for all students.

Therefore, regardless of the strategic path or specific category of issues, all plans developed by the site

leadership team and the quality achievement action teams should be results oriented, centered around student work, and framed with student outcomes in mind.

What kind of skills are required of site leadership team members?

The U.S. Department of Education publication *Developing Leaders for Restructuring Schools* asserts that a school undergoing restructuring needs leaders who can direct the implementation of the change process with skill, enthusiasm, genuine concern for students, dedication to the school's mission, and an ability to work together with "a clear sense of purpose...and a deep commitment to collaborative action and shared decision making" (Mojkowski, 1991).

The site leadership team is at the heart of a school-based management model and forms the infrastructure or internal scaffolding that supports school renewal in the system. Consequently, this team carries the tremendous responsibility of keeping the reform process on target. In site-based management systems, the individual school, with its increased autonomy and responsibility, becomes entrusted to make important decisions about how best to organize conditions and practices in the school environment to promote achievement and how best to deliver the curriculum so that all students receive equity and high-quality instruction. Thus, the individual school, more than ever before, needs qualified leaders.

Site-based management transforms the nature of leadership and redefines the traditional meaning of authority and control in schools. The site leadership team, together with the principal, assumes responsibility for leading the school into innovative improvement actions in accordance with the values and mission of the school. Some of the leadership qualities that serve school leaders well in their new roles are an ability to:

- Apply problem-solving techniques.
- Tolerate ambiguity.
- Manage conflict in the organization.
- Take action in accordance with the vision and mission of the school.
- Stay the course during periods of dissonance.
- Understand the dynamic change forces at work in the school.
- Communicate ideas and encourage feedback.

The Delano High School Career Center remodel project is an example of how a quality achievement action team takes charge of an issue and makes a positive change quickly. When the team studied the issue of career center support, it was discovered that most parents and students were intimidated by the center's physical walls and other visual barriers. At-risk students were not assertive and often did not make the extra effort to ask for counseling. The planning teams convinced the site leadership team and the school board to take action immediately to make the structural changes over the winter holiday vacation. When it reopened, additional staffing and technology made the center more accessible and inviting for all students and parents.

- Manage meeting and planning processes efficiently.
- Generate options and acquire resources.
- Work collaboratively with others.
- Participate actively in the work of the team.
- Inspire others to participate.
- Encourage reflective thinking and inquiry.
- Foster a climate for innovation and risk taking.
- Understand the connections between curriculum, instruction, and the organization's prevailing attitudes, structures, and practices.

Attending to the training needs and development of leadership skills for site leadership team members and principals is important because it is through the expression of leadership that the reform process succeeds or falters. If leadership and commitment are lacking, the process is doomed and efforts to transform schools will be diminished. The support of the district in the development of school leaders, therefore, is essential if the reform process is to be managed effectively.

How are quality achievement action teams organized?

Quality achievement action teams are organized on the basis of the diagnostic findings. The site leadership team groups findings according to four strategic categories — governance, core, support to core, and community — and further defines them by identifying specific significant issues, such as parental involvement, curriculum subject areas, instructional strategies for students at risk, district or site administration, and technology in the curriculum. To strengthen the reform process, all diagnostic findings should be aligned with Program Quality Review. High school findings should also be aligned with the WASC components to achieve an integrated, coordinated effort.

Each school will have a different set of issues from its organizational assessment, a different set of subcategories, and often a different number of quality achievement action teams because each school will have identified its own unique needs. Typically, elementary schools will establish four to six action teams while middle and high schools, because of their larger numbers, may have eight to ten teams. Action teams function simultaneously, are given a specific charge, and may disband or expand, depending on the nature of the issues and on the need to continue the team's work. Figure 17, Quality Achievement Action Team Leadership Model, demonstrates the organizational relationship between the site leadership team and one school's quality achievement action teams.

FIGURE 17

QUALITY ACHIEVEMENT ACTION TEAM LEADERSHIP MODEL

THE SITE LEADERSHIP TEAM

CURRICULUM AND INSTRUCTION
- Accelerated Learning
- Authentic Assessment
- Cognitive Skills
- Grade-Level Instruction
- Independent Learning
- Instructional Families
- Integrated Curriculum
- Optimal Learning Enviroment

COLLABORATION
- Business/Industry
- Communities in Schools
- EQuality Project, The College Board
- Foundations
- MESA
- Universities/Colleges

PARENT INVOLVEMENT
- Co-decision Making
- Community Outreach
- Home-School Communication
- Parent Training
- Volunteerism & Support

STAFF DEVELOPMENT
- Classroom Management
- Coordination of Categorical Programs
- Critical Thinking
- Cultural Diversity
- Expectations
- Student Monitoring

ADMINISTRATION INTERACTION
- Collaboration
- Delegation
- Effective Meetings
- Leadership Communication

DISTRICT/SITE COMMUNICATION
- Central Office Roles
- Conflict Resolution
- Regular Contact
- Staff Development
- Supplementary Funds
- Team Building

Who serves on quality achievement action teams, and when do they meet?

Quality achievement action team membership, like that of school leadership teams, reflects a balance of teachers, support staff, and administrators with parents. At the high school, students may participate also. The principal serves as an ad hoc member of the action teams, attending their meetings when possible. The teams set their own meeting agendas and schedule within the schoolwide timetable that the site leadership team establishes for completion of the planning step. Even with release days, the action teams often choose to meet before or after school and sometimes during lunch.

Ideally, a school will use release days for its restructuring efforts. A school that has adopted a School-Based Coordinated Program (SBCP) is permitted, with school board approval, up to eight release days a year to coordinate planning and staff development in order to achieve high-quality education programs. SBCP release days are particularly attractive incentives because they directly solve one of the most chronic problems employees face in the school system — the lack of time to meet together to solve problems, develop new action plans, and learn new instructional strategies. Use of SBCP release time helps improve staff morale, increases motivation to participate in the change process, and demonstrates the authentic commitment of the superintendent and board of trustees to the reform effort.

Because release time in many districts has been kept to a minimum in the past, the expanded use of SBCP days for these districts constitutes a significant transformation in the cultural norms of a school community. In the first year of its reform effort, for example, the San Rafael schools set aside two full- and four minimum-release days for change process staff meetings and activities, even though this district had never before allowed more than two release days a year. Parents, in particular, had to be convinced of the benefits of these release days. It is important to have active communication on the part of the site leadership teams, principals, and parent association organizations to get that message accepted by the community.

Members of the local school board, who approve the release days, and the district superintendent also must be convinced of the merits of increasing the number of release days because they are the ones most likely to experience community pressure to keep students in school as many days as possible.

The more effective the school is in communicating the benefits and results of these release day efforts in terms of student outcomes, the more the community will support the reform effort.

Experience from the schools involved in the C-LERN network indicates that it is more productive to authorize full release days than minimum days for planning activities. The San Rafael school district discovered that minimum days resulted in unwanted side effects: fragmentation of effort, a split focus on the day's purpose, and an increased hardship on teachers who had to make a transition from an almost full teaching day to the task of concentrated planning and training, particularly at a time during the day when they were fatigued and less ready to put forth their best thinking. Minimum-day release time, found to be burdensome and inefficient, was changed, consequently, to six full release days in year two of the process. If a school selects minimum-day release time, consideration should be made for scheduling the staff time to begin in the morning before a delayed opening of the day's classroom sessions. High-quality problem-solving, efficient planning, and effective staff development are best achieved when staff are rested, fully focused, and able to devote time together for collaborative purposes without the burden of extra demands.

What is the purpose of the quality achievement action teams?

The purpose of these action teams is to bring teachers, representative parents, and other concerned participants together into functional planning groups to design strategies that will eliminate the obstacles to school improvement that were identified within their assigned problem category during the Diagnosis Phase (e.g., attendance, student discipline, assessment, students and families at risk). Each group develops, for its category, preliminary intervention strategies (prescriptive action plans) to eliminate those obstacles. The group is guided by a member of the school's leadership team who is assigned to help construct an appropriate action plan or "prescription" to correct the problems in the group's charged area. If the teams have only two or three members, they meet and share roles informally. If the group is larger, effective meeting principles should be applied, such as selecting a chairperson, facilitator, timekeeper, and recorder. Many groups choose to rotate those responsibilities among their members, but it is the group's assignment to organize itself in the manner that works best. There is one group practice, however, that applies to all action teams: consensus decision making, the collaborative model, should govern all group decisions. The "Collaborative Model for Team Leadership Roles" in Appendix E, offers suggestions on the various functions of each designated team leadership role and can be applied to both site leadership teams and action teams. The roles shown in the figure are not meant to be permanent. For each member to become actively responsible for sharing team leadership, the roles should be rotated.

Building Consensus: A Decision-Making Communication Model

What is consensus decision making?

Consensus is a form of agreement reached by a group when all members of the group, in spite of some individual reservations, are willing to support the group's decision. When input, acceptance, and trust of staff are needed, consensus is the decision-making strategy to use. Consequently, when action teams and site leadership teams negotiate agreement on schoolwide intervention strategies, they do so not by majority vote or unanimity, but by bringing the group to consensus. This allows the concerns and ideas of everyone in the group to be heard, addressed, and incorporated in the discussion. While it is not always possible to satisfy everyone, it is possible to reach general agreement and to exert a genuine effort to ease individual members' concerns. When this point is reached, most group members are ready to support the recommended plan, and at the very least, dissenters are willing to give the strategy a chance by supporting it even though they may have reservations.

What is participative decision making?

Participative decision making is a shift from centralized control of decisions by the district administration and local school board to a decentralized management system in which the school community (staff and parents) participates and shares responsibility for making decisions that affect that individual school. The school's site-based management system (action teams and site leadership team) is the operating structure through which these decisions are made. In terms of organizational effectiveness, participative decision making is an attempt to create cooperative rather than adversarial relationships between schools and the district and between groups of individuals within the schools (i.e., teachers, administrators, parents, support staff, and students). Participation in making decisions about matters that affect the school is also intended to increase the school community's involvement in problem solving, planning, and support of the approved interventions. The students are the ultimate beneficiaries of this form of decision making because the interventions are created and conducted by those most responsible for and invested in the outcomes.

Should a site leadership team and its action teams use participative decision-making strategies in all decisions?

A site leadership team and its action teams should not use participative decision-making strategies in all decisions. Sometimes participative decision making in site-based managed schools is not the appropriate strategy to employ. The following conditions, as outlined by SAGE Analytics International, a private, organization assessment company, were used by leadership teams and principals in schools that applied the C-LERN model in determining when to make decisions collaboratively to solve a school's problems:

- Decisions are routine.
- Special expertise is required.
- The solution has already been determined.
- An individual is addressing the issue as part of a regular assignment.
- No one really cares much about the issue.
- Time dictates a quick decision.
- Go beyond parameters established by the board or superintendent.

Participation is an appropriate tool that empowers people in the school, district, and community to pool:

- Information.
- Resources.
- Support networks to tackle tough problems.

In all circumstances, the boundaries of decision making should be clearly defined with a carefully delineated time frame and set of reporting relationships. There should be a mechanism for involving all those parties with a stake in the issue and for explaining the processes to be used by the groups, including the formation and dissolving of the group when the work is completed.

Why is there such emphasis on the planning process?

There are several reasons why planning as an important part of the organizational change model is emphasized. Systemwide, comprehensive planning through schoolwide participation, reflection, and inquiry allows:

- Priorities to be established that focus resources in an integrated manner.
- Complex issues to be studied and broken into manageable elements.
- Participants to determine the group process for deciding how to develop, implement, and monitor the best possible intervention strategies to solve a school's problems.
- Communication of the planned intervention activities and responsibilities to all stakeholders at local, district, and state levels.
- Social reinforcement and the creation of a bond between participants to evolve from their collaborative work efforts.
- Expanded learning opportunities and leadership development to occur at all levels of the school community.
- A holistic approach to the environment in which all planning actions are shaped to take place in an interdependent, interrelated system.
- Perpetuation of the involvement of all segments of the community in the change process.

How is the planning process handled by the quality achievement action teams?

Some generic steps occur during planning, regardless of which planning process a group chooses. The process described here is based on the model and planning sequence that was used by most of the C-LERN schools, but there are others to choose from (e.g., district or county office models, strategic planning packages, and total quality management approaches). Figure 18, Basic Planning Elements, and Figure 19, Problem Solving/Shared Decision Making and Site-Based Management Process, illustrate the planning process ranging from the assignment by the site leadership team of categories generated from the organization assessment during the Diagnosis Phase to the formulation and acceptance of intervention strategies prescribed by the action teams. The chart displays the flow or sequence of planning activities according to the C-LERN experience. Note the active relationship between a school's action teams and its site leadership team. This active relationship is a function of the internal dialogue or structural "scaffolding" that supports ongoing self-renewal and continuous improvement.

FIGURE 18

BASIC PLANNING ELEMENTS

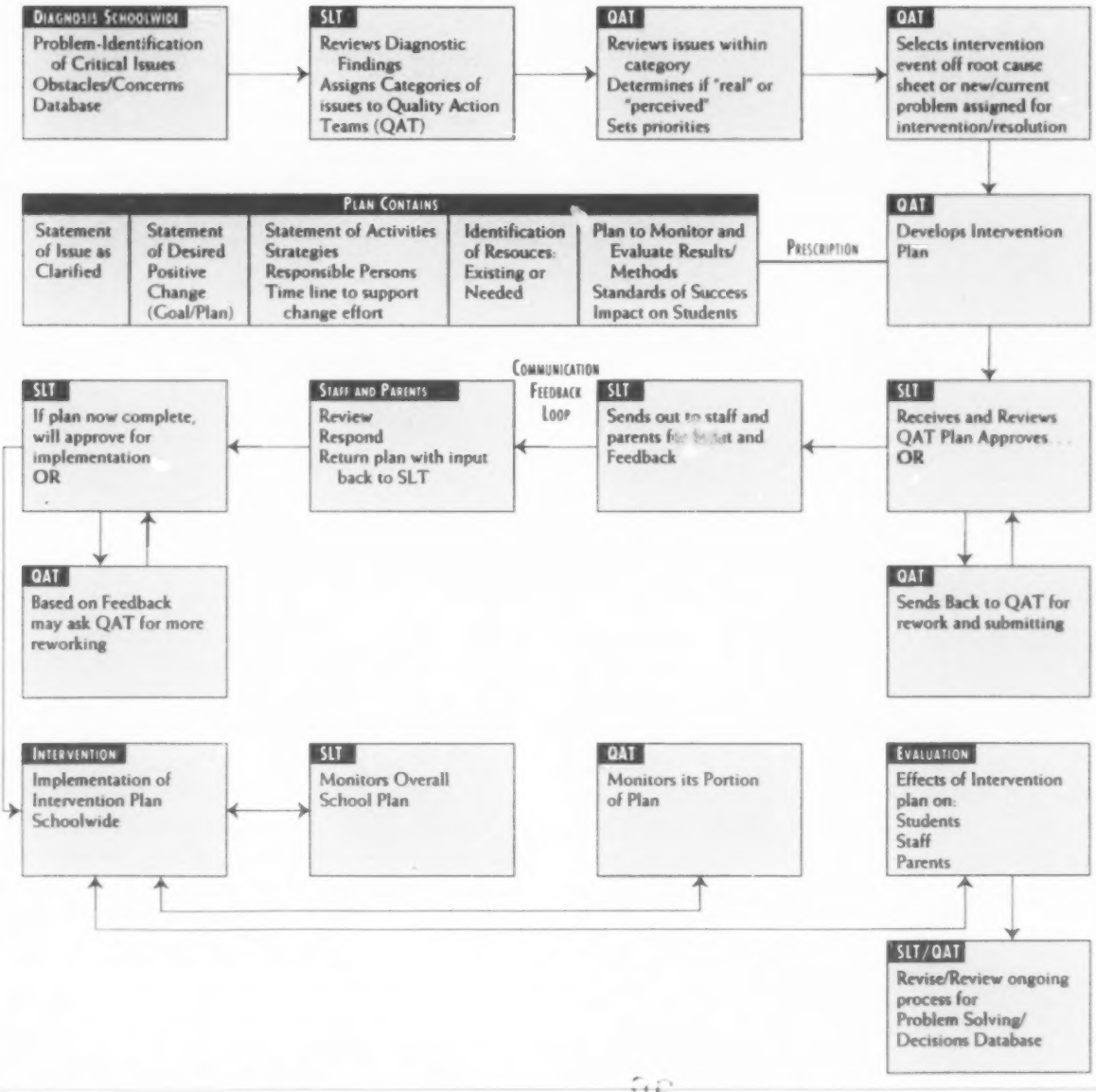
ELEMENT	ACTIVITY
Problem identification	Clarified and defined
Problem analysis	Collect and interpret data verifying root causes
Objective	State desired positive change
Generate solution(s)	Identify and select strategies to resolve problem
Action plan	Identify activities, participants, time line and resources
Monitoring and evaluating	Specify standards of success Establish criteria and method to determine level of success Periodic review of progress Communication system to report results

In what form are the prescriptive action plans expressed?

Each school determines its own format, sometimes self-invented, sometimes adapted from that of another school. Samples of intervention planning forms are included in Appendix D. Although the change process emphasizes writing the action plan on paper, the important thing to remember is that the process of planning is the critical element. It is the dynamics of the interaction, the expansion of the shared vision, the deepened level of enlightenment about how the system works, what the data shows, the experience of teamwork, the heightened sense of the possible, and the strengthened commitment to make the plan work that matter most. Plans will, in fact, be changed somewhat as they are implemented; nothing is scripted in stone. Plans serve to communicate intentions. Reality can never be fully anticipated, but the more complete the planning, the more prepared the school will be to deal with all the eventualities that will occur.

FIGURE 19

PROBLEM-SOLVING/SHARED DECISION-MAKING AND SITE-BASED MANAGEMENT PROCESS



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What happens after the action teams recommend intervention strategies?

Once the preliminary intervention strategies (prescriptive action plans) are developed, the action team brings its recommendations to the school's leadership team for review. It is up to the site leadership team to determine if the proposed strategies support the school's mission and are sufficiently developed and ready to be sent to staff and parent groups for review, feedback, and input. If the plans are incomplete and appear to need more refinement and data, the site leadership team will ask the responsible action team to review the requested action and report back to the site leadership team at a future meeting. (Refer to Figure 19, Problem Solving/Shared Decision Making and Site-Based Management Process Flowchart.)

Under the new change model being employed in CEDSA schools in San Francisco and Los Angeles, the quality achievement action teams are organized functionally according to the four diagnostic strategic paths: governance, core operations (classroom), support to core, and community. These teams refer their plans directly to a Mission Steering Committee composed of the one or two individuals in the system authorized to make policy and resource allocation decisions — most often the superintendent or assistant superintendent and the principal. The benefit of this model is that the process to approval is accelerated, which appeals to some schools. Others may wish to go slower by channeling all proposals through the site leadership team first, so that the full participation of all is ensured.

Incomplete planning occurs when a quality achievement action team neglects to include one or more relevant details in its action plan, such as how a strategy would be monitored, who is responsible for a particular implementation task, what the time line is, or what available resources are to be used or might be needed. Sometimes the group may need to ask for assistance from someone at the district office to obtain data or complete the plan. Sometimes the action team may ask the coordinator to intervene on the group's behalf.

A case in point is the plan developed by Terra Linda High School in Marin County to restructure its class schedule in a way that radically differed from its traditional scheduling. The request was denied initially by the superintendent and school board because the school, anxious to institute the new strategy, had omitted several steps in the collaborative planning process. The action team had failed to do its "homework" by not checking the Education Code to determine if its proposal met the state's legal requirements for instructional minutes and length of class period. It was, therefore, unclear if the proposed schedule change could legally be allowed. Furthermore, the site leadership team had not used the process to determine if there was consensus and parental support for the plan.

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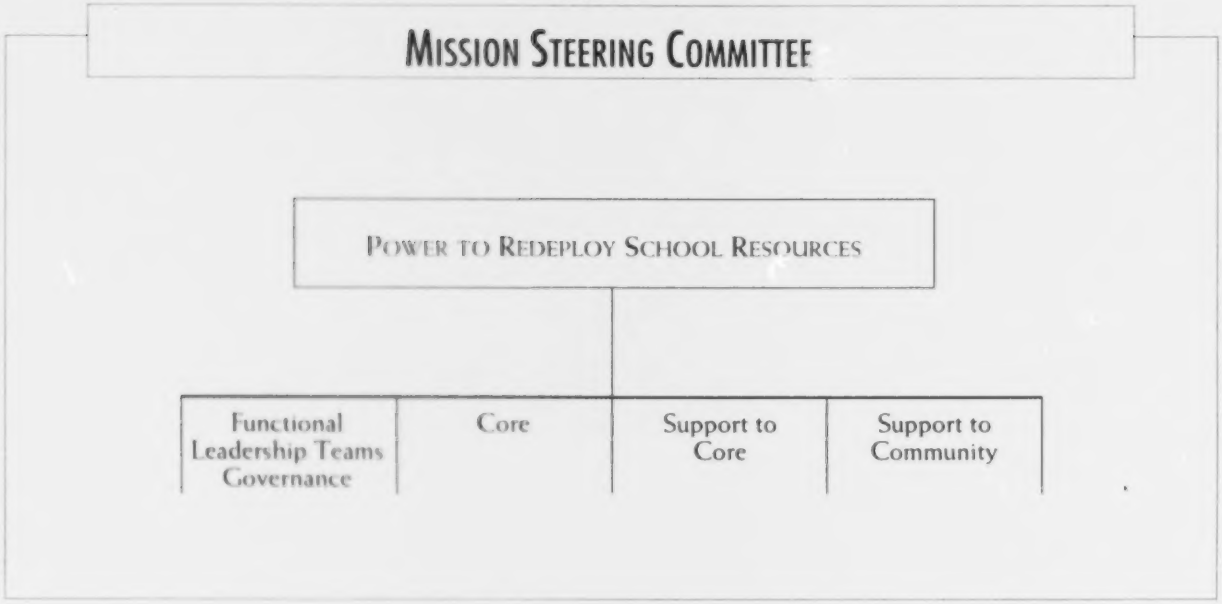
FIGURE 20



After the plan had been turned back to the school, the action team asked the coordinator to intercede on its behalf. She was able to procure the needed information from the California Department of Education, determine the legality of the proposal, guide the site leadership team through the communication-feedback-input system, affirm consensus, and help obtain the superintendent's support for the revised schedule. Plans need not be complex and lengthy, but they do need to be complete.

If the recommendations for intervention strategies appear to be complete, the site leadership team will ask the action team chairperson to present its plan at the next staff meeting and will arrange for the same recommendations to be presented to the school's parent association and student groups as appropriate. After these groups have had the opportunity to review the recommended action plans and offer their input and feedback, the plan goes back to the site leadership team for final win-win negotiation and adoption into the school's improvement plan.

TIME LINES FOR PLANNING

What schoolwide factors contribute to effective planning?

Two factors contribute significantly to moving the school from successful planning to successful implementation: communication and cooperation. Both are critical to the process. It is especially important that all parties associated with the school be kept informed of the steps being taken when intervention strategies are in the development stage so that site, district, and parental approval may be forthcoming as the prescriptive plan works its way through the planning process. Three key elements that facilitate planning are written plans, concentrated efforts, and communication feedback structure:

- Written Plans: To encourage adequate understanding of the recommended intervention strategies, action teams submit their plans in writing to the site leadership team and these plans, when complete, are then communicated throughout the school community. If new rules, policies, and regulations are part of the plan, they are included as draft proposals in the distribution process so that everyone can become aware of the changes being considered. Written plans also serve as group memory and as an orientation mechanism for new staff so that continuity and constancy of purpose are sustained.
- Concentrated Effort: The successful implementation of the reform process requires the concentrated effort of everyone involved. The total school community — community leaders, district officials, parents, administrators, certificated and classified staff — must cooperate and work together to create the environment needed to produce positive change. Keeping the vision spotlighted reminds all of their shared commitment.
- Communication Feedback Structure: The multistep planning and decision-making process creates a systemwide communication-feedback structure. The significance of this structure lies in the fact that it allows the different segments of the school community the opportunity to comment on intended improvement strategies before they are enacted. The process also allows for consensus to be reached before Intervention begins. Again, the importance of allowing time to build consensus and support through effective communication and cooperative approaches is emphasized because it increases the potential for successful implementation of the intervention strategies.

What are some planning pitfalls a school may encounter?

Several pitfalls may be encountered during planning, indeed, during the entire process, and it behooves the superintendent, principal, coordinator, and site leadership team to anticipate and plan for these potential obstacles which are discussed in the following text.

- Trust: Trust is an earned phenomenon and a necessary ingredient in reform efforts. Past experiences and disappointments have made many teachers and parents skeptical about the degree of support they can count on for their efforts. Building trust is critical to the success of the collaborative process. It involves creating a climate that develops a sense of safety, open communication, reliability, and credibility on the part of those who lead the process. Promises by the superintendent and school board must be honored, and the coordinator and principal must be prepared to be tested over time on their ability to manage conflict, foster productive working relations, deal with resistance, engage in open, supportive communication, respect confidentiality, and establish their trustworthiness as individuals and as professional facilitators of the process (Saxl, Miles, & Lieberman, 1989).
- Preparing Written Copies of Action Plans: Clerical support to put written plans on word processors should be arranged to make revisions easier. In San Rafael, the school district coordinators provided this assistance through their office. In some schools, a parent volunteer or computer-competent teacher, classified employee, or Regional Occupations Program student may help prepare the written plans. If the faculty room has a computer available for teacher use, this, too, can be used to support the work of the action teams.
- Fact-Finding: An action team having difficulty obtaining pertinent information will need assistance from the principal, coordinator, or district office staff to get the needed data.
- Costs: A site budget for copying and distributing actions plans should be allocated so that these costs are not charged against teachers' instructional budgets.
- Meeting Management: Lack of focus and delays by action teams may be ameliorated with the intervention and assistance of the coordinator or principal. Training in effective meeting management and group process should be made available if staff and parents are not skilled in these areas.
- Conflict Management: Expect a certain amount of ambiguity and conflict to arise when attempting to bring together diverse viewpoints into an agreed-on plan. Some people will be uncomfortable with tensions arising from uncertainty and differences, but these elements are a natural phenomenon of the process. The coordinator or principal should be prepared to mediate differences when they arise to help the action team, site leadership team or staff resolve differences and reach agreements. Occasionally, a district administrator or superintendent may be asked to intervene to help resolve a conflict.

Sustained Effort

Change creates dissonance and discomfort in an organization because it takes time for people to accept and become accustomed to and skilled in new procedures and practices. Restructuring schools requires extraordinary effort, patience, and a strong commitment. To maintain the momentum for innovation and for enduring the disruptions that change creates, nurture and reward individuals who are working hard to achieve positive results. It is important to celebrate their successes, recognize benchmarks reached, and keep the reform process high on the school's list of priorities. Motivation of the staff members is boosted when they begin to see evidence of intervention successes and are recognized for their active role in improving the quality of educational services and programs for students. School leaders must take extra steps through vigilant, dynamic leadership because without dedicated energy and attention given to the reform efforts, old destructive habits can easily return. As Ronald J. Perry (1992) reminds us in *Education Week*, "Never underestimate the power of the status quo."

Assumed Support

In a similar vein to "sustained effort," new situations and conditions can easily erode the support base for restructuring a school. Stay alert to political and social forces that will compete for a prominent place on the school's agenda. Let the vision and mission compel school actions. Work actively to keep the local board of education, superintendent, and parents informed of progress and results. Communication through newsletters, community newspapers, and public presentations serves the school well and keeps the community's level of support intact. It is particularly important that district policy makers — superintendents and boards of education — be kept apprised of progress because schools need top management's continuing sponsorship and authorization, through board policies, to continue site-based management and restructuring reforms. Results speak with a loud voice that demands the attention of decision makers. Consequently, one way to help secure ongoing support is by effectively communicating data to confirm that the innovative intervention strategies are, in fact, producing the desired outcomes.

PREPARING FOR IMPLEMENTATION

Does all the planning and implementation have to be done at one time?

All action plans will not be completed at the same time. Although the action teams may begin their planning meetings at the same time, they will complete their work at different times and for different reasons, some of which are listed below:

- Some issues lend themselves to prompt solutions.
- Some issues are more complex and require coordination and negotiations with others (e.g., other schools in the district, other subject- or grade-level teachers in the district, the superintendent, Education Code waivers, or board policies).
- Some schools may not be ready to address all the changes, but a particular department may wish to begin its prescriptive planning without waiting for others to join in.
- Some action teams will be more competent at the planning process and be able to conduct their work more efficiently.
- Conditions in the school may change. For example, a principal or key teacher leaders may be reassigned, school attendance zones redrawn, or demographic shifts develop in the student population.
- The district may be in the throes of a difficult contract negotiation period with some staff opting to slow down their efforts while others are willing to disregard the situation and continue on with their task.
- The scheduling of program quality review, compliance reviews, and WASC review may serve to impede or facilitate action team planning, with some groups mobilized for action while others are hindered by a lack of coordinated planning schoolwide.

The site leadership team, in consultation with the action teams, must monitor the work of the groups, hold them to the planning timetable, and renegotiate when circumstances require it. It is best, however, to limit the initial planning time to a period of three to four months so that the school can begin to realize the fruits of its efforts without undue delay. The important thing is to avoid the excesses at either end of the planning scale: hasty, sloppy, incomplete planning or detailed planning that never gets implemented.

What are some key considerations in action planning development?

Some people become fixated on the plan and act as if it were "carved in stone" once it has been written. To view planning that way narrows a team's vision, reduces its options, and makes no allowances for changing situations. Therefore, when groups meet to develop action plans, three key considerations should be understood:

- The process is more important than the product. The forces of change beyond one's control may render a written plan obsolete to some extent. The renewal process is dynamic, and its value lies in its adaptability by school leaders to changing conditions.

- The people who do the planning are a resource: They have learned to deal with obstacles and opportunities. They have created a structure in which they can make changes in light of new developments or overlooked factors. The action plan in a dynamic sense is in their minds, where it can be changed periodically and then recorded, as needed.
- The plan document is a tool: a compass, not a control: The plan document remains useful as long as it is relevant. During the Implementation and Evaluation Phases, the document will be subject to change so that it can continue to serve in the best interests of students.

What strategies can action team and site leadership teams use to ensure effective meetings?

Time is too precious a resource to be wasted on unproductive meetings, so the change process should be conducted in an efficient and productive manner. This means that the planning and decision-making groups should operate with skill and direction and as an effective team. To that end, the process defines what an effective team is: a unified group of people representing various roles who have joined together in a cooperative problem-solving and planning process to reach shared goals. Each member of the team assumes responsibility for the results of the team's work, and each takes an active part in that work. As mentioned earlier, a workshop on effective meeting management may be helpful for team members.

How do action plans address monitoring and evaluation of intervention strategies?

Monitoring and evaluating are important components of the change process because, through these components, schools are able to judge how well they are doing. Monitoring — "periodic checkups" — helps the school determine if intervention is working and if there are problems or changing conditions that require a modification of the strategy. Monitoring allows the school to be directed, yet flexible and responsive at the same time. Evaluation is a more complex dynamic because it encompasses not only the entire change process but also the results of the implementation of new strategies during Intervention. Chapter 7 deals in greater detail with these two process elements.

Fully developed prescriptive action plans incorporate the monitoring and evaluation functions by specifying expected outcomes, criteria or standards of success, methods of evaluating results, the time line, and who has responsibility for the evaluation. Monitoring activities specified within the action plans are the short-term, periodic checkpoints during Intervention to determine whether the intervention strategy is working or whether it needs to be readjusted.

Because the change process model is self-renewing, prescriptive action planning is an ongoing function of the school. As new problems and needs arise, new action plans and new planning groups may be required. Moreover, because the time required to complete action planning varies, depending on the issue, its complexity, access to information, and other factors, the Prescription and Intervention Phases often overlap. When this occurs, the benefit to the school is that the staff may concentrate its energies and resources on implementing completed intervention strategies in a thorough manner without the danger of being overwhelmed by too many changes at any given time. Meanwhile, action team planning on other issues continues until it, too, reaches the Intervention Phase.

Thus, the Prescription Phase may end in a technical sense when most of the Intervention Phase strategies are developed and approved; the renewal process itself does not. Instead, it overlaps with and weaves through the implementation, evaluation, and institutionalization steps of the system.

Living with change is not easy, but there are ways to make it more manageable during the transition to new ways. In negotiating a way through the process of planning and implementing changes, consider these tips for living with change:

- Be patient.
- Don't be afraid to reach out and ask for help or a sympathetic "ear."
- Look forward, don't get stuck holding on to memories.
- Stay open-minded, don't miss opportunities for new learning.
- Build self-esteem during the transition and be forgiving.
- Create small successes to keep going forward.
- Take some risks, try out new ideas.
- Dream a little and when things get tough, remember the dream.

(*The Developer*, April, 1992)

PRESCRIPTION COMPLETE

The Prescription Phase is complete when the following activities and tasks have been conducted:

- ✔ All diagnostic findings from the organizational assessment have been categorized, ranked, and assigned to action teams by the site leadership team.
- ✔ Action teams have developed intervention strategies using the school's problem-solving, decision-making structure.
- ✔ A communication/feedback/input system has been designed and used to inform all stakeholders in the school community about impending intervention strategies and to give them the opportunity to comment on, and offer suggestions for improvement of, the plan.
- ✔ The site leadership team has approved for inclusion into the SIP/SBCP school plans all improvement goals and completed intervention strategies and has authorized allocation of funds to support implementation of those strategies.
- ✔ A monitoring and evaluation system has been created that establishes outcomes, standards of success, and a systematic process to evaluate strategies to determine if the reform efforts are successful.
- ✔ An accountability reporting mechanism is in place to communicate to the school community, district office, and school board the school's success in using the process and achieving results.

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CHAPTER 6

QUALITY ACHIEVEMENT: INTERVENTION

"We should assume that changing the culture of institutions is the real agenda, not implementing single innovations."

— Michael Fullan, author
Getting Reform Right: What Works and What Doesn't

Intervention is the second part of quality achievement in the change process and is the implementation of the action plans developed during the Prescription Phase. Intervention is the process of "intervening in" or disrupting a chain of events to remove barriers in the system and to ensure success of the school's mission.

Throughout the *Transforming Schools* process model, change — the dissonance of change and the consequences of change — permeates the system, and no one working in the school is immune to its effects. For the successful introduction and implementation of change strategies to occur, the leaders of the school — the principal and site leadership team members — are challenged to negotiate, mediate, and intercede as part of their key role as "champions of the vision." This chapter discusses expectations, obstacles, cultural perspectives, leadership competencies, and change agent strategies that may be applied to secure successful implementation of the prescribed action plan and the achievement of positive change.

Chapter Highlights

- Scope of the Intervention Phase
- Converting Plans into Action
- Maintaining Momentum
- Managing Change: Leadership, Conflict, and Culture
- Understanding Leadership in the Change Process
- Supporting Planned Change through Professional Development
- Building Linkages and Partnerships
- Intervention Phase Complete

SCOPE OF THE INTERVENTION PHASE

What are the three main steps of the Intervention Phase?

Moving the school beyond the planning phase to successful implementation requires skillful strategies and follows three distinct steps:

- The site leadership team shares intervention strategies with the staff, community, and students.
- The staff and administration implement the intervention strategies.
- The site leadership team makes ongoing assessments of the progress of the intervention strategies, holds all accountable for implementation, and makes adjustments as necessary.

How are intervention strategies introduced in the school?

How the site leadership team introduces intervention strategies sets the tone for the intervention and significantly influences the school community's commitment to invest effort and resources to achieve the intended changes. Responsibility for implementation does not rest solely on the shoulders of the staff. Others in the system — parents, students, district office personnel, schools in alliances and networks — are also called on to support and implement new strategies. Thus, the manner in which these plans are introduced and are later monitored is critical to motivating staff and the entire school community to accept and complete the reform measures. Step 1 of Intervention, introduction of the action plans, occurs in different ways but basically involves effective communication, backed by organizational capacity, determination, celebration, and systematic follow through.

Communication, a critical component in the infrastructure of an organization, is a function over which the principal and site leadership team members have a great deal of control. The leadership team should steadfastly insist on an open, efficient communication system, making sure all stakeholders have been given an opportunity to discuss and provide feedback on the plan before it is adopted.

Maintaining an open system of communication is vital to gaining acceptance of school reforms. Leaders who understand this and have learned to use communication tools as influential leverage points are in a strong position to persuade others. School leaders are cautioned to remember that communication, as a function of the organization, is not to be shortchanged or underestimated. If done well, communication is a powerful organizational tool that sustains people, keeps them informed, develops understanding, builds support, and minimizes the effects of resistance and accusations of secrecy or exclusion from the process. Multiple communication tools exist in every school. Some of these tools are listed on the following page.

Randy Bobby, Director of Elementary Schools for San Juan Unified School District, describes one of the successful communication strategies used in his district to prepare the staff and build acceptance to upcoming changes:

> After the prescriptive strategies were developed, they were placed onto charts which were then hung on the walls of the teachers' room to get feedback and to have a greater impact on the staff. A separate chart for each primus group (quality achievement action team) was drawn, showing the plan of action for each significant problem faced by the school. This strategy, like the display of the school's mission statement at the start of the process, visibly demonstrated the importance of the plans, kept them in the forefront of the school's agenda, and provided tangible evidence of the groups' hard work.

Communication Tools in School Systems

Newsletters direct to school, teacher, and principal
Classroom bulletins
Posters
Staff meetings
Meeting agendas and minutes posted
Parent association communications
Videotapes
Community newspapers
Public meetings
Board of education presentations
School assemblies
Special events
Television and radio coverage
Telecommunication

Converting Plans into Action

How are plans converted into action after planning is completed and communicated?

Converting plans into action is Step 2 of the Intervention Phase and is accomplished by tapping into key elements in a school's internal structural support system. Communication is one such key element. Organization, the capacity to organize and mobilize the school system's human and material resources in pursuit of a given goal, is another. Organizational capacity underlies the successful implementation of all Intervention Phase strategies. School leaders must be alert to this key consideration.

Writing a plan is one thing, transforming it into action is quite another. As the Intervention Phase unfolds, and the school "gears up for action," many practical questions will have to be addressed, such as:

- If a new strategy is to be implemented, the school needs to decide when to start it: next week, next month, next quarter, next semester?

- Are people trained for the new instructional method? Are the organizational structures in place to support it?
- Have new roles and relationships been clarified?
- If there is a new policy or set of procedures, did everyone who needed a copy receive it?
- If computer technology is required, are the necessary hardware and software available, and do school staff understand their applications and relationship to the school's mission?
- What are the staff development issues? Does the school calendar include the staff development schedule?
- If services are to be integrated, does everyone know what is expected, who is involved, and how to obtain these services?
- If a new purchasing system is installed, do all users, including those in the central office, understand how to implement the new strategy?
- If a new student referral or school/home program is to be initiated, has someone been designated to assist children's parents in using new programs, and does everyone know who has been designated?
- Has the librarian's job been redefined to fit in with new strategies for instruction? Do teachers and parents understand their roles and how these changes affect the curriculum, instruction, and student learning?
- Does scheduling need to be revised to accommodate the planned changes?
- Are networking and training components in the plan, and if so, what arrangements have been made for times, locations, materials, and budget?
- Are waivers needed to complete the plans and if so, has that been arranged and confirmed?
- If an expert or consultant is required to help staff learn new teaching strategies, such as cooperative learning, thematic teaching, or multicultural education, is the resource matrix — that list of available local, county, state, and national programs and individuals developed during the Orientation Phase — used?

These preliminary types of questions are answered by the quality achievement action teams when they clarify roles and expectations in fully developed action plans, preparing the way for implementation.

For every approved action plan, some person or group in the system should be assigned the responsibility of overseeing its implementation. Traditionally, that role was filled by the school principal because of the nature of the position. However, because leadership is shared by many different individuals in this change model, teachers will find themselves called on to assume various nontraditional obligations for the school as part of acquiring increased autonomy and empowerment. The model of the inverted pyramid — shared decision making and use of nontraditional leadership approaches — changes the traditional roles and responsibilities of school staff members. Because this may have major implications for bargaining and trust agreements, it is one of the key reasons why the support of the employee associations and thorough preparation of a school staff during the Organizational Readiness and Orientation Phases are so important.

Can the responsible individual(s) be selected after action plans are approved and implementation has begun?

It is better to identify the individual or individuals responsible for activities and oversight functions when plans are developed so that people know what their roles are to be during the Intervention Phase and whom to approach for information or help during this phase. Plans can be beautifully scripted but poorly implemented when no one takes on the oversight task. For reasons of expertise, position, assignment, or interest, any combination of the following individuals may, at one time or another, be charged with the responsibility of overseeing the implementation of a particular intervention strategy:

- Principal.
- Central office personnel.
- School counselor.
- School secretary.
- Special projects director.
- Superintendent.
- Quality achievement action team.
- Change process coordinator.
- Grade-level teacher leader.
- Transportation director.
- SLT member school.
- School custodian.
- SLT members.
- School nurse.
- Department chair.
- Curriculum director.
- Program specialist.

To avoid confusion and delays, responsible individuals should be identified clearly in the action plan. Designating responsible people increases the likelihood that intervention strategies will be managed actively and not be allowed to languish for lack of attention or because of competing needs.

Robert Sexton (1992) reminds us that "school reform is not a spectator sport." Long-term change requires active participation, a recognition that change is not accomplished by quick fixes, and the attitude that the implementation process cannot be left to one or two individuals to manage while everybody else is preoccupied with daily work. The power to achieve lasting positive changes lies in the active practice of sharing responsibility schoolwide.

Maintaining Momentum

How can the unsettled atmosphere of implementation be acknowledged?

A school's momentum for active implementation cannot be sustained by the written plan alone. A finding during the C-LERN experience was that the weakness in the change process is not in the planning; it is in the "doing" — in those variables of attention, effort, application, commitment, determination, patience, and interest that must be strongly demonstrated schoolwide if intervention strategies are to succeed. Planning is an energizing, dynamic, interactive process. It stimulates discussion and mutual problem solving about issues that are important to staff and

parents. Implementing the plans, on the other hand, can be enervating because during this phase each participant assumes responsibility for learning to do something in a new way. Intervention is a conscious, deliberate effort to change factors significantly (e.g., teaching methods; class scheduling; student grouping; referral procedures; curriculum materials; relationships with parents, specialists, and business partnerships.) This is often an unsettling experience.

Implementation takes energy, time, patience, and practice. At first, new strategies may seem awkward, strange, or disquieting because they differ from that which people have been accustomed. Later, people develop greater comfort with the change as they learn how to do it. An outline of individual concerns with innovation and the sequence in which individuals appear to experience and manage change in schools is displayed in Figure 21, Concerns-Based Adoption Model, which was developed at the University of Texas.

The Concerns-Based Adoption Model is a useful guide to understanding the concerns people have about innovations and what they might need in the way of resources, administrative support, training, and encouragement when undertaking innovative strategies. It does not matter whether the innovation is a new instructional strategy or a schoolwide policy on integrated services. All change requires some degree of learning, and until the innovation has been learned and internalized, every step in implementation will be a deliberate act requiring conscious attention and varying forms of support. The Concerns-Based Adoption Model (Hall, Wallace, & Dossett, 1973), as a tool, can help leaders assess where staff are, as a group and individually, in relation to implementing a new strategy. Figure 21 provides examples of typical expressions by individuals at various stages of concern. The stages illustrate how innovation is slowly assimilated.

Is change always viewed as unsettling even when it is welcomed?

Even when change is highly desired it creates dissonance because it deviates from traditional customs and normal behaviors and interactions in the school. During the Intervention Phase, support for changes may be fragile, subject to daily pressures, and can easily evaporate. Therefore, it is vitally important that:

- The change strategies support the shared values and goals of the school.
- School leaders pay attention to staff needs during the process.
- The principal and site leadership team act as champions of change.

Learning to apply new strategies in any change process is a conscious act and while people are learning, they are usually less relaxed because their routines have been disrupted. At first they may feel very uncomfortable. However, as staff learn a new strategy, feel more competent about carrying it out, and begin to see positive results, new norms, new traditions, and new routines emerge.

In some schools, especially those with a history of self-renewal and a willingness to experiment, these changes will be experienced as a cultural "evolution" moving the school in small steps toward a new vision. In

FIGURE 21

CONCERNS-BASED ADOPTION MODEL (CBAM)

STAGES OF CONCERN	TYPICAL EXPRESSIONS OF CONCERN
Refocusing	I have some ideas now about modifying the innovation so it would work even better.
Collaboration	How do I coordinate this innovation with what my colleagues are doing?
Consequences	I'm concerned about the impact of this on my students.
Management	I seem to spend all my time doing this.
Personal	I'm uncertain how using or doing this will affect me.
Informational	I'm interested in knowing more about it.
Awareness	I'm not concerned or involved.

Note: "Stages of Concern" from *A Developmental Conceptualization of the Adoption Process with Educational Institutions* by G. E. Hall, R. C. Wallace Jr., and W. A. Dossett, 1973. Austin, TX: Research & Development Center for Teacher Education, University of Texas.

others, the changes supporting the vision are so dramatically different from the old ways that the school can and most likely will experience turmoil. The deliberate support and nurturing of staff as they learn a new strategy, the monitoring of the plan's progress, and the self-adjusting steps along the way take time but are worth the effort because then the innovation, its purpose, and the individual are all valued in the process.

How can school leaders sustain momentum for reform efforts during the Intervention Phase?

The principal and site leadership team sustain momentum for the reform effort by motivating staff. As champions of change, they:

- Understand how people experience change and respond to their needs during the learning period by providing resources, realistic time lines, flexibility, and modifications as appropriate.
- Value and honor staff by celebrating successful efforts and benchmarks along the way.
- Provide qualitative and quantitative feedback on results and process. (People want to know how they are doing and need to know if results indicate the need for midcourse corrections to accomplish the goal.)
- Display attitudes of enthusiasm, optimism, and a determination to succeed: "We believe this will work, it's worth it, and all our students will benefit from it.")

The leadership role in the transformation of schools permeates every aspect of the change process and is a major determinant in the success of the effort. In schools where the principal and the site leadership team go through the motions of change without connecting it to their shared vision and without taking on the role of champions of change, few changes occur.

Will everyone support the implementation of action plans after they are approved?

Not everyone will be a supporter. Some people will continue to challenge attempts to change the culture and organization of the school. The mutually supporting processes of team-building, decisions by consensus, shared leadership, and staff development are intended to acknowledge and deal respectfully with people's feelings of resistance and address their concerns during the planning stage.

Sometimes, however, as organizations change, a few individuals choose not to cooperate and will resist strongly. If determined resistance continues after efforts to work with the individual have failed, it may be in the best interest of both the organization and the individual to look at alternatives (e.g., reassignment to a different site, voluntary transfer, or retirement). When the direction, focus, and values of a school community change, which will happen as a school redefines and reorganizes itself, its culture will be transformed and every individual in the school will be affected by the changes. Because change is a highly personal experience, each individual in the school must develop a relationship to the transformed organization in the context of those changes. If individuals are ultimately to embrace new ideas or methods, they must believe that the proposed changes will make a positive difference for their students.

"Because we learned to work together by groups, we were able to internalize the process. We used it through deliberation in such areas as problem solving, PQR (Program Quality Review), test scores, and restructuring. Parent, student, and teacher involvement increased awareness and created a sense of urgency. In particular, student attendance rates were improved to be the highest in the district, and community involvement increased significantly."

— Estelle Shulz, C-LERN Change Process Coordinator
Ontario/Montclair Elementary School District

MANAGING CHANGE: LEADERSHIP, CONFLICT, CULTURE

What is the relationship between change and the existing school culture?

Terrence Deal, in writing about the culture of schools, observed that culture and change comprise a basic contradiction. He wisely indicated that "culture is a social invention created...to provide stability, certainty, and predictability." Culture also gives "meaning to life and through symbols creates a sense of efficacy and control." Change, on the other hand, "introduces disequilibrium and uncertainty, and makes day-to-day life chaotic and unpredictable....People fear ambiguity and want assurance that they are in control of their surroundings" (Deal, 1987).

Change also means loss, a giving up of some known quality, and this, too, affects how people react to change. In schools, there is a strong tendency to preserve the status quo and a selective remembrance of that which was good in the past. Deal advises that schools need a "transition period to heal wounds, repair ruptured meaning, develop transition rituals, bury and mourn what was lost, and then...to celebrate the new forms that begin to emerge."

What problems will the site leadership team face in managing conflicts that arise during the Intervention Phase?

The site leadership team's responsibility is to anticipate and plan for possible resistance and conflict as the school moves from old ways to new ones during the transition period. The diversity of individual values, styles, interests, and priorities that exist in a school will continue to influence the reform process. This will continue even when the school community has carefully developed a shared vision and agreement on its mission and goals and has reached consensus on strategies to reach those goals. Old habits are hard to break, and no matter how simple the intervention strategies may be, there is often a vast distance to be bridged between the Diagnosis Phase of an obstacle in the system and its successful removal or circumvention during the Intervention Phase.

The most common problems a school will face during the Intervention Phase are:

- Inability of members of the school community to "let go" and to let the process work.
- Inability to remain objective.
- Tendency not to return to the database to validate problems.
- Resistance in some members to be accountable.

Turning to the change process coordinator is often the key to overcoming these problems and concerns. The coordinator's job is to keep the members of the school community working together to foster a professional, nonthreatening, informal relationship at the school. The coaching, mentoring, facilitating, coordinating, resource brokering, and technical assistance functions provided by the district coordinator to the school principal, the leadership team, and the school community are the "glue" that helps hold the process together, that aspect of the scaffolding that keeps the school connected and stable as it restructures its systems, programs, and services.

In districts that have hired the services of an external organizational development consultant to assist in the Diagnosis Phase, that individual can also serve as a resource to the school. The external consultant can add a more global, objective perspective to a local problem and is well suited to providing advice and guidance on strategies to keep the school focused and on course. Both individuals, the coordinator and the external consultant, fulfill important roles as facilitators and troubleshooters in the change process. Small districts that may not have the resources to hire a consultant may assign a principal, a resource specialist or district office administrator to this role.

Understanding Leadership in the Change Process

Schools must have strong leaders if they are to negotiate the stormy waters of change. Effective leaders in restructuring schools create the future through their vision and goals. They persuade others to follow, are problem solvers, are risk takers able to tolerate ambiguity, stand fast in the face of forces antagonistic to change, readjust when needed, and act in a manner consistent with their visionary message. Because the new vision for restructured schools expands the concept of leadership, one of the qualities a principal needs is the ability to release the creative capabilities of teachers. According to Phillip Schlechty in *Schools for the 21st Century* (Schlechty, 1991), educational leaders must "teach others to make decisions...(and) maximize the potential for success" even when "failure is likely on occasion." The courage of a leader to do so creates new and exciting opportunities for teachers to transform vision into reality.

What leadership qualities should school leaders exhibit?

There is no single leadership model to which the *Transforming Schools* change process subscribes. Qualities of leadership have been the subject of numerous books and different studies. One such study conducted by the University of Texas identified five essential qualities of effective principals. Commenting on the study, William Rutherford (1985) makes it clear that although effective principals demonstrated these five qualities, they did not do so through identical behaviors. Differences in leadership will follow from the level, size, type and location of a school, and from the personality and instructional styles of the official and unofficial leadership of the school. An inner-city high school principal's style may differ greatly from a counterpart in a suburban or rural high school, but the leadership qualities will remain the same especially in the ways in which principals demonstrate values and beliefs to staff in support of transforming schools.

Five Essential Qualities of Effective Principals

Having a vision
Identifying goals
Creating a supportive climate
Monitoring progress
Intervening appropriately

In his study of how principals relate to their staff in successful schools, Sergiovanni (1987) observed that, "style itself is less important than what the principal stands for, believes in, and communicates to others. Successful leaders empower others to be leaders...enabling others to function more effectively on behalf of the school."

What function does vision perform in leadership?

The essential function of vision is explored in Sheive and Schoenheit's (1987) study of effective principals. Visionary leaders are guided by an image of a "preferred future," one that they can describe and toward which people can strive. The study found that effective principals have two types of vision: organizational vision and universal vision. Leaders with a universal vision have a passion for equity, although their target groups differ. These leaders are the 'dreamers' and 'activists.' They are not following patterns, they are making them. Given the emphasis on equity and achievement for all children in this change process, this study provides further insight into how effective school leaders can look to different goals to achieve their vision.

An example of an organizational goal is to be sure that good teaching is going on in every classroom. Examples of universal goals include racial integration, equal educational opportunity for all children, equity for women educators and female students, professional development, and a community school where children and adults learn from each other. Vision, then, shapes the form and substance of a leader's goals and priorities and guides the leader to action (Sheive & Schoenheit, 1987).

FIGURE 22

TWO TYPES OF VISIONS OF EFFECTIVE PRINCIPALS

	ORGANIZATIONAL	UNIVERSAL
Goal	Excellence in the organization	Equity for a target group
Orientation	One school or district	All schools or districts
Central Concern	Creating the best	Righting a wrong

Note: Adapted from *Leadership: Examining the Elusive. 1987 Association for Supervision and Curriculum Development.* (pp. 96-103) by L. T. Sheive and M.B. Schoenheit, Alexandria, VA: Association for Supervision and Curriculum Development. Reprinted with Permission.

What steps do leaders take to actualize their vision?

According to Sheive and Schoenheit, leaders take certain steps to move their vision from an internal image to a reality. The study found that all these leaders shared a common value: *Schools should be good places for children.* Which vision the principal forms — organizational or universal — depends on his or her perception of whether the school is or is not a "good place for children." Findings from the study expand upon specific leadership qualities, which also are informative:

- Valuing: They see the vision.
- Reflecting: They "own" the vision. Leaders consider the risks and the benefits of acting to realize their vision.
- Articulating: They make their private vision a public one. Leaders find appropriate platforms to express the vision in highly visible ways.
- Planning: They develop strategies. Experience shows that plans rarely succeed as intended; effective leaders are "masters at identifying resources and developing creative strategies," not rigid plans, so they can be prepared to reassess and readjust as necessary. To effectively plan, leaders must know and understand the system, how people function in it and have knowledge of their resources.
- Acting: They mobilize people. Competent leaders are skillful in achieving substantial accomplishments and in moving the school closer to their vision.

The study concludes that effective leaders who achieve their vision demonstrate certain characteristics, some of which are listed in Figure 23.

How do leadership qualities and competencies relate to the site leadship team?

Leadership in the site-based managed, change process is typically conveyed by the school principal and by the site leadership team. Earlier in the manual, skills needed for effective leadership, group process, and teamwork were listed. (See Chapters 3 and 5.) Those skills, together with the qualities, competencies, and characteristics described in this section, are also intended to serve as descriptors for site leadership team members who, to the extent possible and appropriate, share leadership functions with the principal. Vision, in terms of the change process model presented here, becomes a shared vision whose form and substance are shaped through the sharing of leadership, common goals, and values.

FIGURE 23

LEADERSHIP COMPETENCIES

- Understand that people are central to their vision.
- Relate to people smoothly.
- Communicate skillfully and strongly.
- Demand supportive performance and are intolerant of mediocrity and complacency.
- Work well with diverse people.
- Find and reward strong, able colleagues.

FIGURE 24

CHARACTERISTICS OF EFFECTIVE LEADERS

- Feel productive.
- Convey a feeling of worth.
- Are fired up, not burned out.
- Work long hours, often in conflict situations.
- Invest time, energy, and money in perfecting the skills they need to accomplish their vision.
- Accept taxing jobs.
- Take risks, even unpopular, courageous stands in their organization.
- Confront faculty, parents, superintendent, board, and community.
- Dare to propose a different way of approaching education.
- Seize opportunities.
- Drive and avoid being driven or consumed.

Note: Figures 23 and 24 are adapted from *Leadership: Examining the Elusive: 1987 Association for Supervision and Curriculum Development.* (pp. 96-103) by L. T. Sheive and M.B. Schoenheit, Alexandria, VA: Association for Supervision and Curriculum Development. Reprinted with Permission.

What work guidelines should be adopted by site leadership teams?

In practicing leadership roles and responsibilities, the site leadership team is advised to select work guidelines that will allow it to be productive, be efficient, and achieve results. Those guidelines should suit the site leadership team as a group and its members, individually. Examples of such guidelines include:

- Focus on the students.
- Improving quality as a driving force.
- Decisions based on analyzed data.
- Teamwork, interactive support, respect, responsibility.
- Agreed-on group processes honored.
- Commitment to achieving common objectives.

Another set of guidelines a site leadership team can use to structure its work processes comes from Total Quality Management (TQM), a management philosophy that is strongly influencing business and education practices in this country. In growing numbers, schools have begun to organize teams along the lines of TQM and are applying such principles as constancy of purpose, customer orientation, and continuous improvement to shape their plans and actions. TQM, like this change process, also uses assessment, data, action planning, monitoring, and evaluation of results as process tools to implement change. Both are predicated on the principle that improvement is a continuous, renewing process. Schools wishing to apply TQM as part of their restructuring efforts should look to their resource matrix or coordinator for help in locating individuals or programs that can help them institute this process. The application of the TQM approach, like other comprehensive change approaches, is best applied with training, technical assistance, and coaching.

Many of the elements that form the structural concepts and philosophy of the change process model presented in this manual are similar to the principles of TQM. In their article on improving quality, Abernethy and Serfass (1992) listed TQM principles found to be highly effective in improving quality in organizations. Figure 25 compares the *Transforming Schools* change process model's operating concepts with that of TQM.

How can school leaders strengthen their leadership skills?

Because effective leadership is so crucial to transforming schools, leadership development and assessment rank as a high priority in this change process. Educational leaders and managers can use a variety of self-assessment instruments to gain an understanding of their strengths as leaders and of areas in need of development. Listed here are six examples of self-assessment instruments widely used in California.

Keirsey Temperament Sorter

Based on the Myers-Briggs Type Indicator, it is recommended by the Los Angeles County Office of Education Administrator Training Center (ATC) staff and is explained in *Please Understand Me* by David Keirsey and Marilyn Bates.

FIGURE 25

COMPARISON OF PRINCIPLES OF THE TRANSFORMING SCHOOLS CHANGE PROCESS MODEL AND TQM

TOTAL QUALITY MANAGEMENT	TRANSFORMING SCHOOLS CHANGE PROCESS MODEL
Those closest to any improvement opportunity should be involved in its solution.	Site-based management.
	Participative decision making.
Learning and leadership are everyone's responsibility.	Shared leadership.
Decisions must be made with facts.	Databased decision making.
Understanding theory is central to improving quality.	Organizational development systems.
Continuous improvement is the norm for all activities and not the exception.	Organizational assessment monitoring and evaluation.

Myers-Briggs Type Indicator

Compares individual perception and judgment processes, organizing them into four basic preferences. The Myers-Briggs is also widely used and well validated, worldwide.

Strength Development Inventory

Developed by Elias H. Porter and recommended by California School Leadership Academy (CSLA) trainers.

LEAD

Produced by Paul Hersey, author of *The Situational Leader*, and used both in general management and education.

Style Delineator: A Self-Assessment Instrument for Adults

Developed by Anthony F. Gregoric and used by the California School Leadership Academy.

Life Styles Inventory

A self-development profile and guide for self-improvement developed by Human Synergistics, Inc. and used by the Association of California School Administrators.

What philosophical and practical attitudes help educational leaders manage transformation of their schools?

Rosabeth Moss Kantor, in her book *The Change Masters* (1983) provides simple, yet profound insight into organizational change and how it is viewed. Kantor says "change can either be a friend or foe, depending on the resources available to cope with it and master it by innovating. It is disturbing when done to us, exhilarating when it is done by us." Kantor adds, "Living with change need not imply insecurity, but rather developing new forms of security. In an innovating organization, security will come from...flexibility, quick reaction time, and being able to cut across categories to get the best combinations of people for the job. For its people, security will come from...identification with the whole company, with its unity of effort."

Organizations that "succeed and flourish," according to Kantor, "will be those that have mastered the art of change, creating a climate encouraging the introduction of new procedures and new possibilities, encouraging anticipation of and response to external pressures, encouraging and listening to new ideas from inside the organization." Kantor says, "The individuals who will succeed and flourish will also be masters of change, adept at reorienting their own and other's activities in untried directions to bring about higher levels of achievement. They will be able to acquire and use power to produce innovation."

Kantor advises that a significant part of the leadership role consists of keeping everyone focused on the shared vision and being explicit about the parameters for decisions. Leaders should also stay alert to uneven participation or pressure from groups, keep "time bounded, and as events progress toward accomplishments, provide rewards, and feedback — tangible signs that participation mattered."

On a practical basis the implication of Kantor's findings for leaders in change process schools is the need to create and maintain a well-managed system that contains specific elements. Kantor's findings about well-managed systems represent the organizational structures that the *Transforming School* change process attempts to establish in site-based managed schools. The similarities of Kantor's findings to the structures and processes of the changes presented in this manual are paralleled in Figure 26.

FIGURE 26

COMPARISONS OF WELL-MANAGED SYSTEMS AND THE TRANSFORMING SCHOOLS CHANGE PROCESS MODEL

WELL-MANAGED SYSTEMS	TRANSFORMING SCHOOLS CHANGE PROCESS
Define structure clearly	Site-based management
Involve appropriate people	Participative decision making
Assign meaningful, manageable tasks with clear boundaries and parameters	Quality achievement action teams, site leadership teams, utilizing talents, skills
Set time frame	3- to 5-year change cycle
Establish accountability and reporting relationship standards	Data driven, monitoring, evaluation requirements
Develop information and training to help professionals work more efficiently	Communication, professional development, and training
Ensure involvement of all stakeholders	Communication: information/input/feedback system, consensus decision making
Provide visibility, recognition, and rewards for team efforts	Celebrating, honoring, communicating efforts, results
Define processes for forming and disbanding teams	Task-oriented, goal-driven planning and group work to support the mission
Transfer learning from group work	New knowledge, skills, processes

Supporting Change Through Professional Development

How ready is the school community for implementing intervention strategies?

Managing change is achieved through structure, process, and education. Few teachers would dare to initiate a new instructional strategy, such as cooperative learning or authentic assessment, without first receiving training in its theory and application. Innovative strategies in instruction and curriculum are clearly recognized by staff as legitimate staff development subjects. Not so clearly recognized perhaps, is the need for staff development in the area of changing an organization's internal structures, perceptions, attitudes, and behaviors. Such development would address:

- Techniques and processes of change.
- Skills needed to implement the change.
- Guidance in new collaborative models of decision making and teamwork.
- Effective management of resources, conflict, and leadership.

Training is critical to the success of the change process. Quality achievement action teams need training in effective meeting management and problem-solving strategies. Site leadership team members need to learn how strategic planning is applied to school improvement issues. Principals and their leadership teams need to understand the implications and consequences of sharing the leadership role and responsibilities as well as the techniques for doing so. District administration and local boards need to learn new ways to collaborate with the site staff and parents when developing policy.

The readiness and capacity of staff to implement planned intervention strategies are directly related to preparation: knowledge, skills, and resources. Experience has shown that behavior does *not* change just because information indicates a need for change. Change needs to be supported through learning and in accordance with the principles of adult learning (e.g., interactive learning environments with modeling, experiential learning, coaching, and follow-up support).

This change process model emphasizes assistance and training to develop the needed level of readiness for individuals and groups throughout all phases. It is the responsibility of the principal, the site leadership team, and individual quality achievement action teams to determine the training needs of staff and parents and to arrange for the necessary inservice sessions. Responsibility for staff development is also shared with the district office, whose role is to help provide or find the needed resources to support the school's efforts to improve.

How is staff development funded during the Intervention Phase?

Consideration of available funding and other resources needed for staff development is an important function of the site leadership team. If the school has merged the existing School Improvement Program/ School-Based Coordinated Program leadership team and expanded its role to incorporate this change process model, then the site leadership team will be the group that determines allocation of the school's available categorical funds in accordance with the priorities established in the school's improvement and/or school-based coordinated program plan. Most schools will have insufficient funds to meet all the training and resource needs required during the Intervention Phase. Thus, the school must turn to other sources for assistance: foundations, grants, partnerships with universities, businesses, and community agencies. The school must actively seek partnerships with others to expand their resource base and accomplish their goals.

The San Juan School District learned this lesson well. In this district, the staff has become sophisticated regarding funding alternatives. By using the database on programs, test scores, attendance, and other measures, which the schools had formed as part of the change process, the district was able to obtain much-needed new funding sources through replication grants and other state model program opportunities.

Building Linkages and Partnerships

What is the function of linkages?

Successful implementation of intervention strategies is accomplished in numerous ways, many of which have been mentioned in this chapter: leadership, communication, professional development, organizational systems to support change, and management of change. In addition, the capacity of the school to create linkages, networking across departments, grade levels, and community and business groups. This linkage among implementers strengthens the process and works to create an environment in which everyone is pulling together in the same direction toward shared goals. A powerful force for change is built when this happens. Building linkages is a technique that allows the site leadership team to connect planning, action, and people in an integrated, coordinated way. Linkages take on a variety of forms and can be promoted in different ways. This change process emphasizes collaborative linkages or partnerships, both internal and external to the system, as a way to obtain much needed resources — expertise, equipment, learning experiences, funding, and facilities. Because few, if any, activities in the Intervention Phase occur in isolation from other structures and functions in the school community, linkages create vital connections between individuals, between groups, and between the school and organizations outside the system.

What kinds of linkages exist in school systems?

There are two types of linkages — internal and external. Internal linkages are groups within the school system itself. These groups should be encouraged to forge supporting, collaborative connections and enhance existing ones. If they can do this, the schools can increase the effective use of resources, coordinate planning more efficiently, and, ultimately, achieve better results.

Examples of internal linkages are quality achievement action teams which are the designated liaison to maintain ongoing communications with other groups, sharing information pertinent to each group's tasks. Another example of a linkage are team leaders who report periodically to the site leadership team on the team's progress on implementation of an intervention strategy, providing the information needed to organize strategically for an integrated school plan. Workgroup associations too provide linkages with their early communication between concerned groups when the work of one team is seen as overlapping with the work of another group.

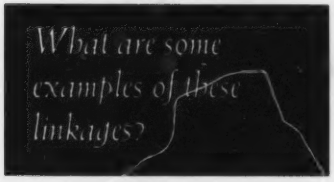
Communication devices are mechanisms to encourage linkages. Principals and/or site leadership teams can facilitate communication between teams through a newsletter, especially in schools where size and scheduling constrain coordination and make it difficult for staff to stay current on the status of multiple intervention strategies. In some schools, the change process coordinator will prepare quarterly updates on progress made by teams and implementation of their intervention strategies.

External linkages are collaborative alliances or partnerships formed between the school and its community. The stronger the linkages, the greater the potential for strengthening school effectiveness and student achievement. Some linkages can be formed by various groups or activities, such as the California Department of Education which was the initial "convener" of the local players for C-LERN schools, giving them a process by which they could begin to work together. However, there are ways that schools and districts can foster linkages with local entities — community agencies, universities, businesses, and other organizations — on their own.

Schools may find it helpful to designate someone from the school or district office to help create and foster such connections, such as a parent, the principal, the assistant principal, a school counselor or a vocational education teacher.

The coordinator is a major source for promoting external linkages. It is this position's job responsibility to locate and acquire resources needed by the school. Other district office personnel can assist with this task.

Linkages can be regional or interdistrict efforts through the county offices of education and with electronic networks and computer bulletin boards. If the *Transforming Schools* model is being implemented in the form of the triad network in a district (i.e., connecting planning between elementary, middle, and high schools that serve the same students over time), then the schools will have many local contacts with which they can communicate and be mutually supportive.



During the C-LERN experience, many linkages were developed. The following are examples of just a few:

- A partnership developed between the San Juan Unified School District C-LERN schools and California State University, Sacramento. The state university's school counselor training program in the School of Education needed schools in which to place interns. The San Juan schools needed extra services for their students. District officials and university leaders discovered they had a "match of needs" and acted to establish a mutually satisfying linkage.
- A partnership of the College Board and the California Department of Education brought regional training in teaching the newly revised core curricula to schools in the C-LERN network. Highly qualified classroom teachers/presenters gave workshops to high school and middle school teachers on strategies for teaching culturally diverse students in mathematics, English/language arts, and history/social science. These trainings were sponsored by Pacific Gas and Electric Company, which also helped to sponsor the Department of Education's C-LERN Summer Institutes and Curriculum Academy for site leadership teams.
- The University of San Francisco (USF) and the San Rafael schools formed a partnership to design a new, multicultural program in the San Rafael schools. The university provided expertise on planning curriculum and instructional strategies and on one of the restructuring release days offered district teachers an instructional methodology workshop on how to teach culturally diverse students. In return, the schools provided skilled teachers to work with students in USF's School of Education teacher preparation courses.

How does the site leadership team assess the progress of the change process and specific strategies?

A two-part axiom of quality achievement operates throughout the Prescription and Intervention Phases: No matter how much people plan and how hard they try, there is always the possibility that it won't work, but it will never work if they don't try. Moreover, without a periodic check on the progress of their efforts, they will not know just how effective their intervention strategies are in achieving the school's mission.

Step 3 of the Intervention Phase involves the monitoring and evaluation aspects of the axiom, those parts that address the need for periodic checks — the need to collect and interpret quantitative and qualitative data to determine progress. Monitoring and evaluation activities occur throughout the Intervention Phase and are necessary to ensure that intervention strategies are working as intended, and if not, that adjustments are made to achieve desired results. For the site leadership team, this function is directed at the overall change process being applied. Responsibility to monitor specific intervention strategies lies with the quality achievement action teams.

For practical purposes the monitoring and evaluation functions have been separated from the Intervention Phase into a separate chapter as a way of highlighting their importance in the process. Accordingly, concepts and methods associated with the monitoring and evaluation functions are described in Chapter 7.

INTERVENTION PHASE COMPLETE

In one sense, the Intervention Phase, once begun, goes on without a distinct ending because of the continuous nature of improvement efforts in the system. Each strategy in the school plan, once initiated, however, becomes subject to review, modification, and adaptation as conditions warrant.

In a technical sense, however, the Intervention Phase contains the discrete elements that this chapter addresses. It can be said that the Intervention Phase is complete when the following activities and tasks have been conducted:

- ✔ The site leadership team has shared the intervention strategies with the staff, community, and students.
- ✔ Communication tools are used systematically to keep people informed about the status of strategies and their effects.
- ✔ A plan for ongoing assessment of progress, established in the action plan, holds everyone accountable for implementation, provides for periodic adjustments as needed, and is being executed as planned.
- ✔ Individuals and groups responsible for overseeing the implementation of specific strategies have been identified.
- ✔ The site leadership team and district have taken steps to determine and respond to the professional development needs of staff and parents to manage change strategies, implement innovations in the environment, curriculum, and instruction, and strengthen leadership.
- ✔ The site leadership team is operating according to the work guidelines it selected as the basis for conducting its business.

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CHAPTER 7

QUALITY ACHIEVEMENT: EVALUATION

"High quality information is the key to better performance." — Unknown

The *Transforming Schools* model is a data-driven, problem-solving process that uses the monitoring and evaluation functions for two purposes: to obtain feedback on the progress of specific intervention strategies and to obtain feedback on the change process itself. By focusing on the feedback aspect, the stakeholders in the system (i.e., those with a vested interest in school performance), obtain relevant information on progress and results. Feedback gives the site leadership team and, through it, the school community, the database it requires to turn the school into a self-regulating organization with the capacity to adjust and be responsive to new and continuing needs. This chapter delves into monitoring and evaluation as integral components of the Intervention Phase and how they influence the overall effort to produce significant changes in schools.

Chapter Highlights

- Function of Implementing Change Strategies
- Monitoring Dimensions of Change
- Evaluating the Results of Change
- Evaluation Phase Complete

Function of Implementing Change Strategies

What is the monitoring function and why is it important?

Action does not happen just because a plan has been developed and approved. Individuals have to actualize plans — make them happen, take the necessary steps, make arrangements to set the plans in motion. Because there are so many competing demands on school staff time and attention, the school must clearly identify the person or persons responsible for overseeing or monitoring designated elements of the implementation process. This will ensure that plans do, indeed, become transformed into action and that the action taken moves the school in the desired direction.

Monitoring is a management-type, facilitating function that calls for frequent checking to determine whether implementation actions are aligned with approved plans, if deadlines are being kept, if activities are arranged and implemented, and if the resources needed for implementation are being made available to the implementers.

Who is responsible for the monitoring function?

As explained in Chapter 6, a variety of individuals in the school system may monitor the implementation of intervention strategies. Often this function is assumed by the principal; however, others at the school site and in the school system may be called on to serve in this capacity. A department chair, for instance, is a natural choice to oversee the implementation of a newly integrated curriculum strategy or instructional grouping strategy that overlaps disciplines, classrooms, or grade levels. Or the attendance clerk or school secretary can make monthly attendance data reports to the site leadership team or quality achievement action team. The data reports can be programmed selectively by categories such as class, gender, or ethnicity. This provides the data needed to keep track of attendance patterns and changes. The same is true for suspensions and other discipline indicators the school has decided to track to monitor the effects of new policies and procedures.

In addition to individuals, a quality achievement action team may become the monitoring agent for a specific strategy, gathering its own data, holding monthly or quarterly meetings to review results, and suggest revisions to the plan if needed. The site leadership team or the quality achievement action team that developed the plan determines which people in the school are in the best position to fulfill this function — by expertise, by assignment, by time, or by interest.

Monitoring: The act of overseeing the progress of an intervention strategy to determine if it is working as intended or if modifications are required.

How often does the monitoring function occur?

The frequency and form of monitoring will vary depending on the issue, the person monitoring the tasks, the availability of data, the episodic or continuous nature of the intervention strategy, and the internal schedules and time lines set by the site leadership team and/or district reporting requirements. The frequency of checking on interim results will also vary from monthly to once each semester. The form monitoring takes may range from informal conversations and observations to formal activities, such as collecting hard data (numbers) on specific indicators and surveying target groups (e.g., parents, students, teachers, and support staff) for feedback. The site leadership team and quality achievement action teams would be well advised to consult with the coordinator for assistance when developing plans for monitoring the intervention strategies and process for achieving positive change.

What is the connection between the monitoring function and individuals who serve as change facilitators?

Managing change successfully requires that someone be in charge of the change process and monitor its progress. People in the school organization who assist, ease, and promote the change effort fulfill the important role of facilitating the process. Change facilitators such as the coordinator, principal, or a curriculum director meet their obligations to monitor and manage change efforts in several ways, one of which is through a process, described by Saxl et al. (1989).

Facilitators literally walk through the school, engaging people in conversation about the school improvement effort and listening actively to their suggestions and concerns. Through this kind of activity or by establishing a specific time, on a daily or weekly basis, when staff members know where to find the facilitators, facilitators can assess the implementation of new practices. They can pinpoint problems, determine what resources are lacking, and encourage staff members who are taking on new responsibilities. As one facilitator reflected, "We are always looking, and we see everything — our mere presence suggests monitoring." But effective facilitators make the concept of monitoring positive, balancing prodding with moral support and technical assistance (Saxl, Miles, & Lieberman, 1989).

Facilitators of change, according to the research on innovations in schools by Hord et al. (1987), take many different actions to support change. A change facilitator can be anyone in the school, regardless of where the individual falls on the organizational chart. The importance of change facilitators is that they "support, help, assist, and nurture. Sometimes their task is to encourage, persuade, or push people to change, to adopt an innovation and use it in their daily schooling work."

Hord and her colleagues, in studying actions (interventions) associated with innovation and the role of change facilitators, identified specific categories of interventions and various behaviors within each of the categories. Under the category of monitoring, ten typical actions were listed (see Figure 27). These actions are designed to provide the school with current, relevant information and are useful in understanding how the monitoring function can influence perceptions and actions of individuals engaged in the overall change process and intervention strategies.

Administrators and teacher leaders should be trained in facilitating and managing the change process because of the positive correlation between process interventions and outcome achievement. Although districts may have their own resources, three suggested sources on the topics of facilitation and monitoring are recommended for consideration: *The Team Handbook: How to Use Teams to Improve Quality* (Chapter 6) by Scholtes, et al., (1988); *Taking Charge of Change* by Hord, Rutherford, Huling-Austin, and Hall (1987); and *Assisting Change in Education*, by Saxl et al. (1989).

FIGURE 27

A CHECKLIST OF SUGGESTED FACILITATED ACTIONS TO SUPPORT CHANGE

- ❑ Gathering information.
- ❑ Collecting data.
- ❑ Assessing innovation knowledge or skills informally.
- ❑ Assessing innovation use or concerns formally.
- ❑ Analyzing/processing data.
- ❑ Interpreting information.
- ❑ Reporting/sharing data on outcomes.
- ❑ Providing feedback on information collected.
- ❑ Administering questionnaires/surveys.
- ❑ Conferencing with others about progress in innovation use.

Note: Adapted from *Taking Charge of Change* (pp. 74-75) by Hord, Rutherford, Huling-Austin, and Hall, 1987, Alexandria, VA: Association for Supervision and Curriculum Development.

MONITORING DIMENSIONS OF CHANGE

What are the dimensions of monitoring?

Monitoring planned social and institutional change is similar to planting a garden and watching the flowers and vegetables grow. The gardener has to make sure the environment supports growth and with that end in mind, the gardener takes action. Techniques used to monitor healthy growth include preparing the ground for planting, making visual observations, checking soil conditions, weeding extraneous entities that compete for sunlight and moisture, and fertilizing or using pest controlling methods when needed. No one would dream of pulling up the plant every few weeks or months just to examine its root growth. So, too, appropriate monitoring during implementation requires selecting activities over time that provide information for decisions and for taking additional action to nurture and encourage implementation, including revisions to the action plan. The aim is to use new knowledge to improve the plan without significantly inhibiting the progress of intervention strategies.

Three dimensions of change should be monitored:

- Action plan activities.
- Group process: participation, and verbal and nonverbal behavior.
- Process issues.

Action Plan Activities: Monitoring change through the action plan means paying attention to the logistics of the plan: time lines, events, dates, locations, processes, and products. This type of monitoring can be structured around identified major events and related activities necessary to prepare for the event. For example, a Saturday morning parent learning fair requires a good deal of planning and coordination. The learning activities need to be developed. Publicity, maintenance, day care, schedules, transportation, equipment, materials, and refreshments all need to be arranged. Follow-up activities to determine the effects of the program on parent-teacher communication, changing patterns in student achievement, and collaborative, integrated child and family services also need to be conducted. Reporting back to the school community is another aspect of this monitoring dimension.

Group Process: Because of the cultural characteristic of collaborative teamwork, group process is a second dimension that should be monitored. The schoolwide, systematic nature of implementing intervention strategies demands a great deal of collaborative work effort on the part of staff. Teamwork and group process call for skills and a level of active participation that may not have been the cultural norm previously. Monitoring group process and team behaviors is intended to ensure that participation is productive, that there is follow-through, and that

How will you know how far you got, how well you did, and what you need to do next if you don't set up a system to obtain that information?

linkage is established between groups, among triad schools and partnerships formed between colleges, foundations, and businesses. "Group process" means that everyone on the team is expected to carry a fair share of the work and handle conflict or different points of view. If this does not happen, the team must confront the individual or resolve differences according to team agreements on process and responsibilities. This is a sensitive area but can be handled without personal attacking or judging. The coordinator, because of skill and experience as a change facilitator, can step in, intervene, and play a critical monitoring role for the school in this capacity.

Process Issues: Process issues is the third dimension that should be monitored. In this dimension, monitoring looks beyond specific strategies and focuses on the overall change procedures that are being implemented. These procedures can include group consensus, problem solving/decision making, flow of information, the communication/input/feedback system, revision of formal roles and relationships, site leadership team operations, data collection/analysis/interpretation/reporting, support structures within the school or district and between the school and the district office, and superintendent/governing board support for the reform initiatives.

An alert and sensitive process observer, such as the coordinator, performs a highly valued function in keeping the entire process going forward smoothly. Through keen monitoring, the observer can bring to the attention of the staff, planning team or site leadership team, behaviors that may indicate attitudes or conditions requiring special attention or action (e.g., meetings not being held as scheduled, lack of follow-through, increasing comments of dissatisfaction combined with decreasing constructive efforts to problem-solve). The skill, neutrality, and objectivity of a process observer helps the school to avoid or defuse distracting pitfalls and to stay focused on the tasks at hand.

Evaluation: The act of collecting and interpreting information on the results of an intervention strategy to determine how effective the strategy has been in achieving intended results.

EVALUATING THE RESULTS OF CHANGE

What is the purpose of the Evaluation Phase?

The purpose of a monitoring and evaluation system is to 1) identify the intended outcome, 2) establish the baseline or current status of a situation, 3) determine a method for measuring progress, 4) describe the evaluation standard for successful achievement of a single intervention or the entire change initiative and, 5) determine if the intervention resulted in success. This is standard operating procedure for the *Transforming Schools* model, which considers monitoring and evaluation integral components of its systematic approach to school improvement. Although the form, labeling, and details of such a system will differ from school to school, almost all will incorporate these five basic functions for planned organizational change — identified outcomes, data baseline, measurement methods, evaluation standards, and results analysis. Each of these will be a component of the action planning conducted by quality achievement action team.

Healthy organizations are self-regulating, interested in results, and use information to make new decisions on actions needed to continue the improvement of the organization. This results-driven, outcome-based, problem-solving process emphasizes systematic use of information beyond individual personal perceptions. It determines whether intervention strategies are working as designed. If the strategies are working, it determines how well, and if they are not, it determines what needs to be altered or corrected to achieve intended outcomes. In the process, monitoring and evaluating are viewed as intertwined, feedback functions. They are also an expression of accountability through such school reporting mechanisms as the School Accountability Report Card, presentations to the school board, and reports to the staff and school community by the site leadership team.

What is the difference between monitoring and evaluation?

Monitoring is a dynamic sequence of activities akin to a work in progress. It is a short-term, interim function that periodically checks the effectiveness of implementing a new strategy, making adjustments as appropriate to facilitate the implementation process. Monitoring may occur weekly, monthly, quarterly, or by semester, depending on the intervention strategy and how data are collected. Evaluation examines the long-term effects, studies the findings, and draws conclusions about the effectiveness of the strategy based on its results. Typically, evaluation is conducted annually and, in some cases, after an intervention has been in place two or more years.

Take, for example, a new intervention strategy for teaching students at risk that was introduced in a school using the original C-LERN model. This strategy called for the sharing of classroom lesson plans with resource specialists to improve collaboration and coordination between a student's regular classroom teacher and the

specialist. Options for monitoring a strategy such as this one could take the form of a formal (printed questionnaire, annual School Improvement Program review) or informal (during conversations or as a discussion item at a faculty meeting) approach. These are used to determine whether teachers and specialists are, in fact, sharing lessons plans as intended, and whether the strategy appears to be helping the students learn more effectively or whether constraints are interfering with the implementation of the strategy. If the monitoring process identified constraints in complying with the activities, the individual or group responsible for monitoring the action plan would recommend an intervention strategy to eliminate those constraints.

Evaluation, on the other hand, would examine the impact of this intervention strategy in terms of intended outcomes (e.g., on student achievement and on the ability of students with special needs to perform in their regular classroom). In this example, the results would be examined in terms of how successful the students at risk were in achieving regular classroom objectives (e.g., intended knowledge, skills, demonstrated performance of learning objectives) as a result of resource teacher assistance and increased teacher collaboration.

The manner in which evaluation information is collected, the setting of standards, and the person responsible for analyzing and interpreting the data constitute important components of the approved action plans and are specified during the prescriptive phase. By measuring results according to predetermined standards, the school is thus provided with critical data about the effectiveness of its strategies and, based on the evaluation findings, helps direct staff and parents toward deciding on next steps to take.

"In my experience, I found that schools that were able to identify immediate needs were willing to be in the process. I would help them with a pressing area of concern that could be resolved in a cooperative fashion. One example is Parlier High school, which was only being granted a two-year, rather than a six-year, WASC accreditation. By helping them reorganize, the school was able to receive the six-year accreditation and save a lot of time by not having to prepare for review every two years."

— Maria Natera
Former Field Representative
SAGE Analytics International, Inc.

How do all these evaluation pieces fit together?

Earlier in this manual, planners were advised to incorporate their action plans into the school's improvement and WASC plans. That done, the evaluation or review of the SIP plan is then conducted in accordance with state and accreditation requirements: annually and every three years for program quality review and every two to six years for WASC. Thus, the Evaluation Phase — the process and the findings — is linked continuously with the school's improvement cycle, with its accountability requirements, and forms the basis for organizational self-regulation and self-renewal.

The purpose of both processes, monitoring and evaluation, is to focus on results and provide high-quality information to intended audiences (e.g., school sites, superintendent, school board, the community) about the effectiveness of intervention strategies and whether the environmental, instructional, and curriculum innovations are achieving intended outcomes and leading to a new cycle of school improvement.

What are the roles of the superintendent and governing board during the Evaluation Phase?

The journey to the land of school improvement, positive changes, higher quality education for all students, and increased academic achievement takes a school over a slow and bumpy road with numerous detours and obstacles threatening its direction. People become impatient, resources to implement strategies are limited, leadership changes, new conditions arise. All this competes with the daily need to survive in the complex, demanding world of the school house. Although discussed earlier, it is appropriate at this juncture to remind planners of the importance of maintaining ongoing support and sponsorship by the district superintendent, their governing board, and their own school community. This support cannot be taken for granted. The school needs its "cheerleaders," champions, and promoters to keep the spirit and commitment for innovation alive both at the site and with the policy makers of the district. It needs the superintendent and board to continue their sponsorship even when the school is in the throes of dissonance and organized chaos — which will happen to a certain degree as individuals strive to make the transition from old ways to new practices. Because it takes time to realize positive results, maintaining support must be a priority to keep morale up, resources flowing, and detractors from derailing efforts. As in all matters of schooling, change is a political phenomena and a political process. The stronger the support garnered from policy makers and the school community, the better the chances the school will reap the benefits of its hard work.

How is support maintained?

Few things have a greater persuasive effect on maintaining support than well-founded data that demonstrates how effective intervention strategies are in achieving positive results. The support of the superintendent, governing board, and school community can be consciously maintained through the school's ongoing endeavor to monitor and evaluate intervention strategies. It must be followed by communicating progress and results to stakeholders in efficient and informative ways — using all the communication tools the school has at its disposal.

Stakeholders need to be assured and reassured that the new strategies are leading to positive changes, that students are, in fact, benefiting and achieving at higher levels, and that it is worthwhile to continue the improvement efforts as designed. Here, too, the site leadership team and principal play key roles, as does the parent-teacher association, which can serve as an important voice of support for the school's new strategies.

What is the connection between evaluation, accountability, and school reform?

Evaluation is the mechanism that supplies information, fuels reports, and drives school reform. It is through evaluation that data on student performance and a school's strengths and weaknesses are collected and communicated to teachers, parents, administrators, trustees, and the public at large. Holding educators responsible for results and requiring public reporting are powerful driving forces for change. Revealing this kind of information allows a school to celebrate its successes and also to expose critical elements in the organization that continue to require attention and interventions.

Accountability is the effective use of information to focus energy toward the attainment of goals. It represents the public's expectation that a school be effective and be held accountable for the results of its reform initiatives. The public expects school restructuring to improve the quality of teaching and student achievement. Evaluating results and then reporting through various public local, state, and national channels (e.g., meetings, categorical reports, school performance report cards, newspaper articles on standardized testing results, and board presentations) force a school to confront critical issues and to renew its efforts to improve. Often the reports are mandatory, but a school that is performance-based and data-driven realizes the importance of communicating results on a regular basis and will find creative ways to keep its public informed.

How does the school keep monitoring and evaluation from becoming chores?

The purpose of monitoring and evaluation is to provide immediate and frequent feedback on results. The effect of feedback on people is to stimulate them to act; that is, feedback becomes an incentive for decision making and, depending on the results, can be a positive or negative factor on those decisions. The collecting, analyzing, and interpreting of qualitative and quantitative data is intended to drive those decisions.

In education, the "bottom line" is student achievement, and although that is the most meaningful criterion for measuring progress, other indicators in the school will also be important to track. Progress toward the stated mission and goals of the school and toward the objectives identified during the Prescription Phase, for example, should also be measured. Other examples of the types of information that a school needs to obtain over time through its monitoring and evaluating processes to determine if progress is, in fact, occurring include:

- Changes in the dropout rate.
- Numbers of students reclassified from Limited English Proficient (LEP) to Fluent English Proficient (FEP).
- Numbers of special education students who are able to receive, with support, instruction on the core curriculum within their regular classrooms.
- Improvement in student achievement overall
- Specific categories, such as gender, ethnicity, and special learning needs.

Examples of student-centered and process-centered actions that a school leadership team and quality achievement action teams might consider in their evaluation system are listed in Figure 28. The evaluation always should be connected to the goals and objectives the school has developed in pursuit of its mission.

A great deal of information on school performance is collected systemwide by many individuals for specific purposes related to their job assignment. To keep monitoring and evaluation from becoming a chore, planners (in this case, the quality achievement action teams), should locate sources of data and create a system to tap into the data easily. The example of the attendance clerk and a modified computer program suggests one way to obtain needed information. The English as a second language teacher maintains records that can be used by the teams responsible for increasing access to the core curriculum for students at risk. The school's student study team keeps a log of referrals and disposition of cases. The school counselor or nurse keeps records on various indicators that can also be accessed to evaluate intervention strategies. The assistant principal keeps track of discipline referrals.

FIGURE 28

SELF-ASSESSMENT CHECKLIST

STUDENT-CENTERED TARGETS

As a result of the process, the following were accomplished:

- ❑ Decreased dropout rate.
- ❑ Mainstreamed more special education students successfully.
- ❑ Increased average daily attendance as a result in a drop in unexcused absences.
- ❑ Increased the number of minority students in advanced placement classes.
- ❑ Increased the number of students enrolling in postsecondary education.
- ❑ Reduced the number of suspensions in general education and special education, particularly minority males (detention target population).
- ❑ Reduced the tardy rate.
- ❑ Reduced the retention rate.
- ❑ Increased the number of students reclassified from LEP to FEP.
- ❑ Increased parent participation in Back-to-School Night, school events, and governance.
- ❑ Increased the number of females in nontraditional academic classes, (e.g., computers, science, math).
- ❑ Increased the number of students exiting from special education, Chapter 1, and bilingual programs.
- ❑ Decreased the numbers of students on the "D" and "F" grades list.

PROCESS-CENTERED TARGETS

How much of this effort represents a team effort? To what degree were the following achieved?

	LOW 1	2	3	4	HIGH 5
Scheduled, publicized, and held site leadership team meetings on a regular basis.	o	o	o	o	o
Included parents, students, and support staff in the improvement effort.	o	o	o	o	o
Connected actions with the school mission.	o	o	o	o	o
Led actions to the achievement of goals.	o	o	o	o	o
Created a process that honors differences and brings people together.	o	o	o	o	o
Linked staff development to the school mission and annual goals.	o	o	o	o	o
Considered decisions within the context of current district/community realities.	o	o	o	o	o
Obtained resources. (e.g., information, policy revisions, personnel, technical assistance, legal waivers)	o	o	o	o	o
Secured time to give input and feedback on site and districtwide issues.	o	o	o	o	o
Developed the means to communicate with sister schools in the triad configuration.	o	o	o	o	o
Used a data-driven, decision-making process.	o	o	o	o	o

Classroom teachers log contacts with parents. The key to making it easier to collect evaluation information is to identify these sources and set up, in advance, a collaborative method and schedule for receiving data. It is this type of systematic, organized approach that helps to make the tracking of data more efficient and manageable.

When should Evaluation activities occur?

End of the year or midyear are usually the most convenient periods for assessing results. A school's evaluation plan might call for all its quality achievement action teams to convene in January or April to review the results of the intervention strategies that they had developed, then report back to the site leadership team and the entire staff on their findings. Evaluation of strategies works best when it coincides with other review processes required of the school (e.g., the school improvement plan or school-based coordination program plan's annual review). It is up to the leadership team, together with the principal, to take the lead in scheduling time for evaluation activities. Based on the evaluation findings new decisions can then be made about ways to improve the change process, implementation efforts, and allocation of resources. Also to be considered are equipment and materials and staff development needs. The site leadership team and the principal must take the lead and coordinate the Evaluation Phase. The involvement of everyone in the phase generates energy, interest, and a sense of community commitment to ongoing improvement and reaffirmation of purpose.

What kinds of problems might a school expect regarding monitoring and evaluation?

For some reason, monitoring and evaluation often fall to the bottom of a school's list of action priorities. People become highly energized while planning and implementing innovative strategies, but in many schools, the task of monitoring and evaluation as part of a comprehensive strategy to track organizational effectiveness is not considered as vital. This is an interesting phenomenon to encounter because few educators would condone a haphazard, sporadic assessment approach to determining effectiveness within their own classrooms. Classroom teachers in effective schools constantly monitor, evaluate, and provide feedback to students on their performance. There is a high correlation between feedback and improvement; thus, the same principle should apply to the organizational change efforts in a school. Regrettably, this is not what happens in many schools and it is a condition the site leadership team will need to address. Problems schools may encounter with regard to monitoring and evaluating their progress include:

- Lack of understanding as to the need and value of assessment.
- Insufficient reinforcement of the exemplary behaviors intervention strategies are intended to produce.
- Sporadic effort to evaluate results.
- Failure to include assessment data in new decisions.

The power of a school to be effective in initiating and sustaining positive changes lies within the realm of each individual in the system and the collective commitment of the entire school community to support the effort. If the staff members draw together and consistently implement, check, and reaffirm agreed-on strategies and goals, the potential for success increases. If individuals within the school decide on independent courses of action, the strategies are then diluted and the reform efforts are more likely to become fragmented and unsuccessful. Ongoing assessment and evaluation are key process tools that provide the school community with the information it needs to maintain its agreed-on course of action, and continue its commitment toward achieving the school's mission.

Is it advisable to keep the Evaluation Phase an inhouse, internal function?

For most action plans, Evaluation is relatively uncomplicated and, therefore, easy for the school to handle. Under the guidance of the site leadership team, Evaluation is an internal function although the reporting of the results will be both internal (to staff and parents) and external (to the superintendent, board of education, and community). Sometimes, however, it is advisable to use the services of an external evaluator, especially in districts that are attempting to institute sweeping reform initiatives. The local board may want to hire an independent consultant (agency or individual) to conduct a comprehensive evaluation of the change process presented here and other alternative reform processes under consideration. Funding for the external consultant then becomes the responsibility of the superintendent and governing board.

This was the case in the San Rafael City School District. The school board, which had made a fiscal and moral commitment to support districtwide restructuring and school reform initiatives, wanted to know how effective the schools were — after three years of improvement projects — in increasing the academic achievement of students at risk. The three projects studied included C-LERN as the structural and procedural basis for the reform initiatives; Communities in Schools as coordinators of integrated services for students and families at risk; and the Quality Education Project, which focused on strengthening the involvement of parents in their children's education.

The school board hired the Beryl Buck Institute for Education (BBIE), a nonprofit research and evaluation organization in Novato, California, to conduct a comprehensive review of those three major reform initiatives. BBIE designed an evaluation process that consisted of three methods:

- Collecting information from interviews with key stakeholders about their beliefs and perspectives regarding the educational improvements in the district.
- Obtaining data obtained from surveys.
- Reviewing the documentation of C-LERN activities from each school site.

The report's findings and recommendations were provided to the board, its superintendent, management team, and site leadership teams. The objective of the report was to provide the district with new insights on how to "create a consensus-based educational design to help guide reform" (Jenks, 1992).

What factors can cause a school to change its course of action, and when should it change course?

Although monitoring and evaluation can provide persuasive incentives for the school to continue its reform initiatives in accordance with its original plan of action, events may occur that cause a school to reconsider previous decisions (e.g., a budget crisis, board elections, change in superintendent or principal, labor dispute, or attendance boundary rezoning). A word of caution must be expressed about making major strategic changes as a result of such events. The capacity of the school to be flexible, be responsive and make adjustments in time lines, resources, and priorities will be tested, but in the absence of compelling reasons, the mission, supporting goals, and schoolwide strategic plan should, in most instances, continue to be relevant and appropriate.

When a school is confronted with major events that may bear significantly on the future of the reform initiative, the site leadership team is advised to seek suggestions on maintaining the integrity of its plan from its coordinator or external organization development consultant. Seeking help from these individuals allows the site

leadership team to benefit from the experience of others, avoid acting hastily under crisis conditions, and determine in a purposeful manner additional steps that might be taken to preserve the plan.

It is important to remember that the vehicle that set the school on its particular course of action emerged from the comprehensive organizational assessment process — a process in which the system itself was diagnosed, obstacles to student achievement identified, and strategies devised to eliminate those obstacles. There will always be external and internal forces that will press the school to change course. To avoid being flung from one direction to another because of intervening events, the site leadership team must stand fast and keep the overall mission of the school at the forefront of all its actions. The idea behind planning strategically is for a school to shape its own three- to five-year future. Any changes in direction should be weighed against the value of maintaining the adopted plan and should be channeled back through the quality achievement action teams and shared decision-making process that exists in the school. The issue always remains the same: "Will the action we are proposing move us in the direction of achieving our mission?"

EVALUATION PHASE COMPLETE

The Evaluation Phase, once begun, is continuous. School improvement never ends. New conditions rise to challenge the school community. New knowledge is gained and applied to improve the quality of schooling. However, in a technical sense this third main step in the Intervention Phase may be said to be completed when the following activities and tasks have been conducted:

- ✔ Data have been collected on intervention strategies in accordance with the specific procedures, time lines, and steps in the action plan.
- ✔ Data on results have been analyzed, compared to baseline data, and interpreted by the responsible individual or group.
- ✔ Feedback through reports has been provided to participants: site leadership team, appropriate quality achievement action team, school staff, school community, superintendent and central office staff, board of education, public at large, and California Department of Education.
- ✔ The site leadership team and staff review the findings.
- ✔ New plans, decisions, and strategies are formulated based on the findings, thus completing the process and beginning the renewal cycle once more.

CHAPTER 8

QUALITY ACHIEVEMENT: INSTITUTIONALIZATION

"We should assume that changing the culture of institutions is the real agenda, not implementing single innovations." — Michael Fullan, 1991

Institutionalization is the phase when newly developed strategies are implemented, take hold, stabilize, and become standard operating procedure for how the school functions in any area targeted for change: environment, instruction, curriculum.

Change, when it begins, is experimentation and if it can be kept alive — sustained by elements in the organization — will reach a level of permanence that will continue as long as it is observed and no new intervention comes along to replace it. Institutionalization, then, can be described as the resocialization of a school, the transforming of existing structures within the organization into new ones (e.g., formal roles, relationships, policies, procedures, time and resource allocations, curriculum design, teaching practices, management practices, and supporting systems). Out of these changes a new set of cultural norms and values evolve and influence how educators perceive and act on school issues.

This chapter describes factors, conditions, and characteristics that contribute to the institutionalization of change initiatives. It leans heavily on the work of Michael Fullan (*The Meaning of Educational Change*), Ronald G. Havelock (*The Change Agent's Guide to Innovation in Education*), and several others in terms of how meaning emerges out of educational change and how change initiatives are maintained after they are in place (i.e., "institutionalized"). It also addresses ideas on the multidimensional and interactive aspects of change — how change strategies, once implemented, transform the norms and practices of the school; how schools build capacity to sustain change; and how they cultivate ownership for the changes they have established.

Chapter Highlights

- Favorable Conditions for Institutionalization
- Factors Affecting Implementation
- Elements in the Process of Institutionalization
- Removing Institutionalization Barriers

Favorable Conditions for Institutionalization

Many creative ideas and exciting plans have been launched by restructuring schools with staff feeling positive about their planning experiences and about accomplishing their goals through new opportunities. In practice, however, high energy and hopes turn downward somewhere along the line and for understandable reasons. The sections to follow are intended to build a level of understanding about what works and what does not in terms of the stabilization and continuation of new initiatives. Understanding how certain organizational elements facilitate or impede the institutionalization of change is essential knowledge for site leadership teams to acquire, and to be able to apply, for them to manage and stabilize change. The ability to perceive these elements correctly is a facilitating skill that will serve principals and leadership teams well.

What conditions are favorable to successful institutionalization?

Earlier in the manual, an emphasis was placed on new relationships within the organization and the rationale for change, particularly on how educators, in partnership with others, attempt to create bold, innovative, educational strategies that are responsive to a multitude of rapidly changing technological, social, intellectual, political, and global conditions. How a school accomplishes these changes, how it stays focused and committed to the demanding task of redefining itself, is the key to achieving its articulated goals, its stated mission, and its shared vision. Numerous studies have tackled the question of change and how it becomes institutionalized in organizations. These studies describe certain conditions and factors that encourage the transformation of innovations into organizational stability — for as long as the innovative strategies remain relevant and effective. In their study on facilitating change, for example, Saxl et al. (1989) identified nine conditions that were found to influence positively successful institutionalization of change initiatives. These conditions are:

- High-quality implementation.
- Built-in, believable evaluation.
- Good perceived "fit" with local needs and culture.
- Increased commitment and political support.
- Decreased resistance.
- Presence of a powerful advocate.
- Collegial, professional climate.
- Clear planning for continuation.
- Adequate bank of local people who can provide ongoing assistance as needed.

Other factors that contribute to the successful adoption of change initiatives have been identified by Michael Fullan (1982) from a significant body of research on the subject and are set forth below. Fullan's set of ten major factors complements the Saxl findings:

- Existence and quality of innovations.
- Access to information.
- Advocacy from central administrators.
- Teacher pressure/support.
- Consultants and change/linking agents.
- Community pressure/support/apathy/opposition.
- Availability of federal and other funds.
- New central legislation or policy (e.g., federal, state).
- Problem-solving incentives for adoptions.
- Bureaucratic incentives for adoption.

Taken together, the identified conditions and factors reveal a practical framework from which a site leadership team may analyze and interpret information about the effectiveness of implementing its own change initiatives, information that is generated through the monitoring and evaluation processes. Determining the presence or absence of these various elements helps the team pinpoint factors that function as barriers to successful institutionalization. Site leadership teams that use this type of analysis are better prepared to decide what steps they need to take to institute or improve on specific facilitating conditions.

Factors Affecting Implementation

What other factors affect implementation?

Fullan described 15 additional factors that are found to affect the causes, processes, and continuation of implementation of change. These factors, listed in Figure 29, deserve careful consideration.

As Fullan observed, "The more factors supporting implementation, the more change in practice will be accomplished." He suggests that these factors do not operate in isolation, but "form a system of variables which interact....Educational change is indeed a dynamic process of interacting variables over time." Review of these factors and how they work to stabilize changes should be included when training site leadership teams on how to manage the change process.

FIGURE 29

FACTORS AFFECTING IMPLEMENTATION

CHARACTERISTICS OF THE CHANGE

Need and relevance of the change

Clarity

Complexity

Quality and practicality of the program

CHARACTERISTICS AT THE SCHOOL DISTRICT LEVEL

History of innovative attempts

Adoption process

Central administrative support and involvement

Staff development (inservice) and participation

Time line and information system (evaluation)

Board and community characteristics

CHARACTERISTICS AT THE SCHOOL LEVEL

The principal

Teacher-teacher relations

Teacher characteristics and orientations

CHARACTERISTICS EXTERNAL TO THE LOCAL SYSTEM

Role of government

External assistance

Note: Reprinted with permission from *The New Meaning of Educational Change* by M. Fullan, 1991, New York: Teachers College, Columbia University.

What other helpful insights does Fullan provide for leaders of change?

Fullan has many insightful comments and findings about making meaning out of educational change. Site leadership teams are cautioned to consider the following observations by Fullan as points of reference for reflective thinking and for team discussion about the status of their change efforts.

Need: Need-based change is strongly related to successful implementation.

Clarity: Lack of clarity, diffused goals, and unspecified means of implementation, represent major problems at the implementation stage. If the purpose and essential features are not clear, great anxiety and frustration can result.

Complexity: Difficult changes are attempted because they have the potential to achieve greater benefits, but they must be done in a way that maximizes clarity through defining specific components and implementing them incrementally.

Quality and Practicality: "Reinventing the wheel" (learning by doing) provides an important opportunity for staff to work through and understand project changes. For implementation to gather momentum, teachers and others must experience some sense of meaning and practicality relatively early in the process of attempting change, otherwise they will eventually abandon the effort.

History of Implementation Attempts: The more the teachers and others have had negative experiences with previous implementation events either in the district or elsewhere, the more cynical or apathetic they will be about innovation regardless of the merit of the new idea or program.

Adoption Process: More important than participation in planning is the quality of planning, the degree to which a problem-solving approach at the adoption stage is combined with planning for implementation.

Central Administrative Support: The chief executive officer and other key central administrators set the conditions for implementation to the extent that they show specific forms of support and active knowledge, and understanding of the realities of attempting to put change into practice.

Staff Development: Because the essence of educational change is learning new ways of thinking and doing and new skills, knowledge, and attitudes, staff development is one of the most important factors related to change in practice.

Time Lines: Unrealistic time lines add to the burdens of implementation. The complexities of the implementation process and the slow development of the meaning of change at the individual level make it obvious that change is a time-consuming affair.

Information Systems (evaluation): Information on implementation concerns can be very effective in facilitating change, provided that it is linked to a system for acting on it.

Board and Community Characteristics: Individual parents rather than community groups may provide one of the most powerful leverages to better implementation.

The Principal: Principals strongly influence the likelihood of change, but managing change at the school level is a complex affair for which the principal has little preparation.

Teacher Relationships/Climate: The quality of working relationships between teachers is strongly related to implementation. Collegiality, open communication, trust, support and help, interaction, and morale are all closely related.

Teacher Characteristics and Orientation: Teacher sense of efficacy is a trait found to strongly influence implementation and have a positive impact on various measures of success, including percentage of goals achieved, reports of improved student performance, and teacher change (Berman & McLaughlin, 1977). Similarly, in the school effectiveness research, one of the five generalizations related to improvements in student learning is concerned with whether teachers think and expect that all students regardless of family background can reach appropriate levels of achievement. Efficacy is an organizational feature of schools that have come to have a schoolwide emphasis and expectation that they can improve student learning — and they do (Edmonds, 1979, Rutter et al., 1979).

Role of Government: Efforts to achieve reform are likely to be implemented locally to the extent that there is congruence between local needs and the reforms, and on the process by which reforms are introduced and followed through.

External Assistance: Although resources from external sources provide the margin required for implementation support in many school districts, success of reforms depends on district- and site-level characteristics and on how well these sources are integrated with the local system. Availability of needed funding is a major factor in whether or not continuation occurs. (Note: Adapted with permission from *The New Meaning of Educational Change* by M. Fullan, 1991, New York: Teachers College, Columbia University.)

Fullan found that the "single most powerful factor" on whether or not continuation occurs is staff and administrative turnover. The most discouraging factor he found was failure to understand that continuation is a process "that is not linear and never ending."

How does the school stabilize innovation and develop the capacity to generate self-renewal?

It takes more than creativity and access to achieve institutionalized change. "Stabilizing the innovation and generating self-renewal," according to Ronald Havelock in *The Change Agent's Guide to Innovation in Education* (1973), encompasses six important considerations. These considerations are: 1) continuing reward, 2) practice and routinization, 3) structural integration into the system, 4) continuing evaluation, 5) maintenance, and 6) continuing adaptation capability.

Rewards, according to Havelock, can be viewed in this way: "...innovation may pay off directly in improved performance, reduced costs, saved time and labor, etc., but when these direct benefits are not immediately clear, the indirect rewards, such as the continuing encouragement and approval of others, become important."

Practice and routinization refers to the time it takes for an innovation to move from the early, awkward stage at which the user is unfamiliar and makes a concentrated effort to the stage at which use or application of the innovation becomes automatic and routine.

Structural integration means that innovation must be lodged in routine behavior. For this to occur, Havelock noted, provision must be made for people to have the necessary time and money for acquisition, use, and maintenance. The willingness of the leaders to provide for these necessities is an index of their support — a necessary condition for continuance.

Continuing evaluation is where the need for reinspection and reevaluation over time is underscored. Havelock observes that these activities insure against loss of quality and provide an incentive to sustain the change.

Maintenance, according to Havelock, focuses on factors that quite often are notable for their neglect and that underscore the need for schools to work with a change agent who can facilitate the effort (coordinator, a change process consultant, or a school "coach"), individuals who are skilled in the change process and know how to maneuver or coach the school staff through implementing and stabilizing innovations. Havelock wrote:

> "Whether we are talking about hardware innovations...or social innovations (such as new patterns of management), breakdowns and misapplications are bound to occur after initial installation. There must be some sort of maintenance system to deal with these situations. There must be someone to show us where the innovation went wrong and how we can make

> it right. Again, because you cannot predict when a breakdown will occur and [the change agent]...cannot remain on the scene indefinitely, maintenance probably should be a built-in function provided by someone trained for this purpose.
>
> If there is no provision for maintenance, you may get a rapid erosion of acceptance after failures begin to occur. The inability to correct errors and breakdowns rapidly breeds distrust of the innovation and a spread of negative reactions and rumors that the innovation will not work and will be more trouble than it is worth."

The term continuing adaptation capabilities refers to the ability of a user to be flexible by adapting or revising an innovation when faced with new circumstances and changing needs.

Havelock recommended that an organization that wishes to institutionalize change should develop its own capacity for self-renewal and learn to be a change agent for itself. He suggested that to do this, a self-renewing system should have four built-in features:

- Positive attitude toward innovation in general.
- Internal subsystem that is devoted specifically to bringing about change.
- Active inclination to seek external resources.
- Perspective on the future — something for which to plan.

Why not be content to develop quality innovations and provide access to them?

Change is dynamic in nature and, according to the works of Saxl, Fullan, and Havelock, innovations without the presence of numerous interacting, supporting elements, are fragile and tend to disappear over time. Thus, merely planning and setting up an innovation is insufficient to allow it to take hold without the dynamic support structures such as those previously cited. "Changes in actual practice," observed Fullan, "along the three dimensions — (1) materials, (2) teaching approaches and (3) beliefs, what people do and think — determine the outcome of change." Change typically takes two to three years to take hold and over time tends to be modified through experience and conditions. Fullan perceptively noted, "In any case, the total time frame from initiation to institutionalization is lengthy, even moderately complex changes take from three to five years (depending upon the number of people involved and the complexity of the change)..."

Elements in the Process of Institutionalization

What are the specific elements in the institutionalization process?

Sprinkled throughout the manual are numerous comments and suggestions about the change process that refer to the specific elements of the institutionalization process from a variety of perspectives. Although they have taken different forms relative to the topic and process of each chapter, there is a great deal of commonality that is interwoven throughout the entire change process. Four of those, drawn mainly from the work of Saxl et al. (1989), are listed below as reminders of the essential roles they play in changing organizations.

- Building the capacity to sustain change, both at the personal and organizational level.
- Building ownership, consciously fostered, cultivated, and maintained, especially among those newly arrived to the school after the innovations have begun.
- Establishing formal and informal rules and necessary structures schoolwide.
- Maintaining support — in the form of policies, regulations, procedures, and individuals — to overcome the great inertia associated with traditions and the status quo.

When resistance and barriers to institutionalization occur, what action should the site leadership team take?

After all is said and done, the principal and site leadership team must still confront certain structural issues, attitudes, and practices that, if not addressed, create obstacles and defects in the system. Some of these issues were covered in earlier chapters but are so important to the process that they are discussed again below. Fourteen suggested response strategies to these issues also are included.

All schools undertaking comprehensive restructuring have experienced one or more of these conditions in varying forms; indeed, in any school attempting comprehensive innovations, they will occur. Furthermore, when any of these conditions do arise, the site leadership team, when deciding on response options, should do so with the assistance of its change agent facilitator (i.e., coordinator, change process consultant, or "coach"). Anticipating and preparing for these conditions shows foresight and understanding of what is needed to plan for change in a purposeful and intelligent manner. Even so, those responsible for reforming schools must expect to be confronted from time to time by some of these barriers and to be prepared to remove or minimize them.

1 Inadequate capacity of organizations: The capacity to sustain comprehensive change as well as to continue to seek improvements to the system are manifested in the organization's self-renewing features. Features which promote and support the dynamic nature of change and continuous improvement appear in

such forms as an organization's decision-making system; its spirit of inquiry about the status quo; and its policies, procedures, and practices. When the organization is unable to provide necessary resources such as information, people, funding, goods, or services, change initiatives are likely to fail. One remedy would be to reassess or diagnose the organization's features to identify current barriers to successful institutionalization.

2. Impatience, or the failure to understand that reform normally takes from three to seven years to take effect: Preparation and training before and during the change process must emphasize that transforming change into permanence takes three years or more to take hold (Tyler, 1987). Developing realistic expectations of this phenomenon will help reduce anxiety, inappropriate time lines, and other obstructing elements. Participants need to be reminded that succumbing to impatience, or giving up, can easily undo previous hard work and efforts.

3. Information problems, including lack of needed information and such system defects as failure to use collected data and errors in converting the data into accurate and useful information. Information is to the system of change what nourishment is to a living body; that is, it is needed to survive in a healthy state. The more accurate the information, the more likely decisions on school reforms will be correct and sustainable. An effective information system lies at the center of the organizational change approach. What is at stake, if information is inadequate, is the investment of time, other resources, and the capability to achieve results.

4. Communication difficulties, including gaps, uneven or obstructed flow, lack of response (i.e., feedback), linguistic problems (as in a school serving numerous different language groups), technical and logistical problems (such as inadequate means for addressing a large, diverse audience and inadequate translators), and psychological impediments (such as prejudicial attitudes toward certain persons or groups). Building and maintaining an efficient system that avoids failure and damage is much better operationally than a system preoccupied with emergency repairs and crisis intervention. However, when problems occur, the competence to respond promptly; correct the problems; and reestablish good, normal function is an essential requirement. Planned change is unlikely to be institutionalized in a situation where the communication system tends to break down.

5. Understanding of the process of educational change that is inadequate to support thoughtful and consistent practice. Taking the time to prepare individuals for the process of change and training them to implement new practices, materials, and equipment is an investment that should not be short changed. Lack of understanding of the change process can create a major weakness in a school's capacity to manage change and in its determination to stay committed to the reform process. The same is true for the district as a whole.

6. Commitment inadequate to the mission of the school, especially on the part of the leaders and teachers. If this impediment is discovered late in the process of planned change, the corrective strategy may be to take the persons or organization concerned back to the basics: the database, mission statement,

and objectives, the diagnosis and prescriptions, the interventions, and evaluation of progress. If the problem is compounded by insufficient or inaccurate information, then rediagnosis of the organization, or parts of it, may be necessary to design more appropriate treatment. On the other hand, if the issue is one that involves a conflicting personal belief system in which individuals lack a commitment to the reform effort, the response may be to replace those individuals with others who do believe in it.

7. Support that is deficient or defective in budget provision, policy and procedures, and management practice, reflecting lack of necessary support by the superintendent or the school board and other key persons at the district level. Progress cannot be made if this is the situation. Addressing the issue directly is the most likely strategy to take in view of the critical nature of this impediment.

8. External opposition, especially from persons in other schools and organizations who feel threatened by success that tends to create unfavorable comparisons and pressures for which the pressured individuals have not been prepared. The critical issue here is the discomfort other individuals feel when change is about to become permanent. The best defensive strategy is the use of information from the evaluation findings that demonstrates success attributed to the change.

9. Internal opposition, especially from persons experiencing frustration, loss, the feeling of imposition, a struggle for power, or opposing beliefs or philosophy, and the resulting feelings, such as anger and hostility. One important group is the persons who may have come to the school after the development of the proposed change and who therefore lack ownership and understanding. Another group may be those who perceive the proposed change in negative terms. This is a highly complex issue and calls for a strategy of careful, accurate analysis of the problem or problems. There may be a flaw in the process or something overlooked at an earlier stage or new factors surfacing, such as significant changes in the community. In any event, fighting this type of opposition with an exercise of power may be self-defeating. The best and perhaps only response strategy is one that correctly addresses the cause of the opposition.

10. Anxiety about or fear of the unfamiliar or unknown by persons entering the school environment without benefit of experience or understanding of the reform or restructuring to be institutionalized. Even if anxiety does not take the form of opposition, it still needs to be addressed. The corrective strategy may be individualized to the persons or group who have the feeling, and if it is fear of the unknown, provide pertinent information from the previous stage and from evaluation to dispel it.

11. Unanticipated, unplanned consequences of interventions that create new and different problems from the ones originally addressed through the *Transforming Schools* change process model, resulting in general or special resistance to change. Strategies for dealing with this type of situation cannot be specified because, by definition, they are based on unknown or unexpected factors. Consequently, the best approach may be to start from scratch and rediagnose the issues in question. To neglect addressing these newly created problems is to court, if not guarantee, failure.

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12 Planning faults that indicate missing steps, defective anticipation of critical components, and faulty conceptualization or articulation: The best corrective strategies will be to address both the feelings of those who were responsible for the faults and technical problems, add the missing element in the planning process, revise the time line, and reconceptualize the process to present it in an improved form. Going beyond that, a basic corrective strategy is to develop a better understanding of planning as an ongoing process rather than as a product.

13 Structural defects, especially failure to effect necessary permanent changes in the organization, rules, and standards and enduring modification in the culture of the district and the school: The strategy for dealing with structural defects depends, on whether it can be fixed with a "patch" or whether the remedy will require demolition and reconstruction. The decision making is critical because applying a "patch" where reconstruction is needed can have disastrous effects. Often, however, the defect is an oversight that takes the form of failure to address the need for a particular element (e.g., rule, formal procedure or process, or formal policy decision). Again, something that seems to be working well at the school level may falter at the point of institutionalization when it fails to be supported by others who have not shared in its development.

14 Evaluation and assessment failures or faults, in design or practice, including failures to monitor, report, and take credit for achievement: This problem often arises when the individuals responsible for collecting or interpreting data find the Evaluation Phase to be tedious, difficult, or undesirable. These individuals may need help in gaining competence and positive experience (establishing efficient systems to do the task) as a remedy to change their attitudes. A further step may be to replace them with individuals who are more positive and supportive of the value of assessment and evaluation. The best strategy would be to address this problem on a case-by-case basis with the assistance of a competent change process facilitator or consultant.

Removing Institutionalizaton Barriers

What is the role of incentives and sanctions as part of the strategy to remove barriers to change?

Often a successful strategy to deal with resistance or obstacles is to provide incentives for continued implementation. The prospect of success should include intrinsic rewards based on a clear understanding of the benefits of the change. Evidence of successful results attributed to the intervention strategy should, by itself, be sufficient incentive to continue the strategy, but to the extent this is not the case, at least initially, then extrinsic rewards, such as privileges for those who cooperate and support the change, may be advisable. These rewards might

take the form of release days for further training or additional resources (e.g., travel to conferences, central office and staff assistance for obtaining data, research information).

Typically, incentives are reinforced with sanctions or consequences that are perceived to be undesirable for the persons who require the additional persuasion. To be effective, these should be related to the proposed change in as direct a form as possible, preferably in the form of natural adverse consequences. This is especially applicable to individuals who are habitually resistant in principle to change or fail to take time to study and understand the proposed change. For most people, persuasion and additional information are the more desirable and effective methods in obtaining their continuing cooperation for the Intervention Phase.

Institutionalization is said to be completed when the innovation is stabilized and becomes the normal operating practice or structure in the organization. At the same time, the capacity to become and remain a healthy, developing organization requires the school to be continuously vigilant, self-examining, and self-renewing. School restructuring is a dynamic process that moves the school through a natural course or sequence of events that involves envisioning the future, discovering the current status, identifying barriers in the system, prescribing new plans to remove the barriers, putting those plans into action, monitoring and evaluating the interventions, then beginning the cycle anew.

Whether they want to or not, teachers and administrators must become more than experts in curriculum and instruction. Changes in society are forcing educators into partnership with parents to broaden their responsibilities and to become experts in taking charge and managing their school systems. Some welcome this new opportunity, believing that those at the school site are most capable of finding solutions to the problems and together can improve student performance. Others prefer to be left alone and "just teach" or "administrate in traditional ways." Whether they like it or not, if staff do not take on the responsibility for school improvement in broader organizational terms, others will do it for them. Empowerment comes with a price — changing expectations, time-consuming processes, and group and individual accountability. But its rewards are efficacy, greater collaboration, increased understanding of how to "work" the system for resources, greater appreciation for what it takes to achieve positive change, greater self-respect, and respect for other professionals who take part in the change.

To be unsatisfied with the status quo, to recognize that new situations offer new opportunities, to realize that within the school lies the capacity for solving problems and generating creative solutions, to seek help and external resources in partnership with parents and others, and to have the courage to experiment with innovative ideas that may not succeed are essential attributes for schools. A school community that has the capacity to look ahead, see, plan for, and manage change in a systemic approach is one that will achieve the equity and excellence it seeks, if it is determined to do so.

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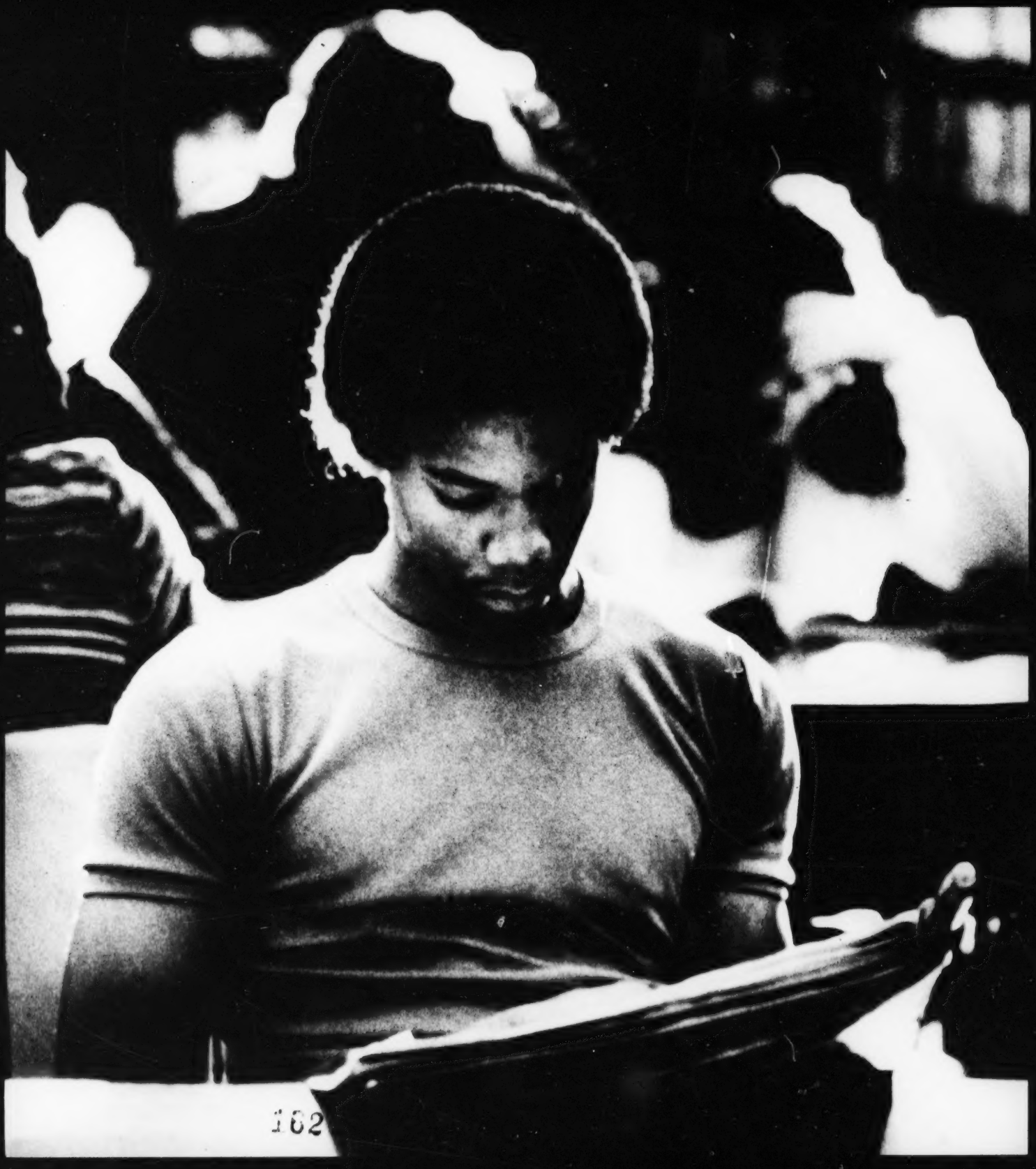

EPILOGUE

Encouraged by their successes, and wiser from their mistakes, educators have learned a great deal about how to improve schools through systemic change models. As they study the impact of change resulting from restructuring their organization, their governance structure, their curricula, instructional practices, and the technical, financial, human and social resources supporting their mission, the question that surfaces is, "What are the lessons learned that will shape considerations for the next generation of schools reform both in the classroom and within the school community?" Just in regard to physical plant issues alone Joe Schneider, executive director of the Southwest Regional Laboratory in Los Alamitos, California, points out five dimensions that in many schools illustrate practical deficiencies to carrying out planned changes: inadequate storage space, lighting, telephone communications capability, electrical outlets and appropriate space for staff development. These are all factors schools must address as they make their decisions about innovative changes and unless brand new schools are designed and built expressly to accommodate twenty-first century technological requirements, then redesigning space, communication, and electrical lines will have to be high on the list of improvements and overall costs of restructuring.

Another realization reached is that restructuring is more than a "cookbook" process. Instead, in its application, restructuring is an experimental, empirical experience shaped as much by theory as by practice with the peculiar merging of the two continually resulting in new insights about systemic school reform. Regardless of the similarities in how it is experienced, change and the change process itself are always unique to the particular school participating in the endeavor. Changing organizational systems is, at best, an imperfect venture whose missteps and unanticipated outcomes continually challenge those responsible to questions, and who rethink and redesign their processes and methods in order to make them more responsive, more practical, and more appropriate for their schools. The payoff of success, however, is well worth the risks and costs of undertaking the change effort. The alternative risk of not changing is, in the long run, more detrimental to students, a disservice to staff, and damaging to society.

In the systems change model described in this manual, the effect of the lessons learned is a streamlining of organizational assessment and planning processes. The importance of strengthening parent and community partnerships is reinforced. The necessity of making available planning and staff development quality time is underscored. Primus planning groups are reshaped into smaller, empowered quality action teams. Aligned strategic planning concepts are more closely aligned with total quality management principles. The development of the mission statement is broadened so that business and community stakeholders work more closely with the site leadership team to produce this important statement of purpose.

While the intent of comprehensive, systemwide reform was ultimately to increase the academic achievement of all students through innovative curricular, instructional, and learning environment interventions, the outcomes — although expressed in the mission statement — were in a way, oddly overlooked or taken for

granted. An example of this oversight can be seen by examining the long-range, highly valued belief of a positive, direct relationship between academic achievement by students at risk and the effects of their achievement on the local community. This tenet was endorsed implicitly and often explicitly as an underlying principle of a school's vision and mission, however, the correlation between student achievement and students as a resource to their community was frequently buried in the proliferation of short-range considerations, i.e., the struggle to carry out work on a daily basis while putting new systems into place. While the link between student achievement and local social and economic community outcomes was one of the most important concepts of the entire movement and should have received more attention than it did during the change process, the absence of this vital link to local development, or rather the neglect and lip service it received, pointed to a deficiency in earlier thinking that is currently being rectified.

Today, a powerful new vision is emerging, one which advocates that the community take a stronger role in school reform because it is the community that has the vested interest in the development of their children. This is not a novel thought but to many disempowered communities, it represents a rethinking of the connection between community development, economic development, and student achievement especially in light of the South Central Los Angeles riots of 1992. In the aftermath of those turbulent, violent days, efforts have increased to build new types of cooperative public/private sector ventures to achieve a vision of economic and community development through student achievement. Building strong alliances between communities and schools is the next step in demonstrating support for student learning. Now, more than ever before, the need for community involvement in school restructuring is imperative. Schools cannot do this alone and need their communities to join them in the drive to provide quality education and increased opportunities. Today's vision perceives the school as the only social institution in place with capability to lead communities out of poverty by producing students who can productively and successfully function in society. Removing the obstacles to realizing that vision, assessing the risks, and planning accordingly, remains a major thrust of the reform movement.

When students achieve, the community benefits and when schools succeed in their mission, the community transforms its skeptical or indifferent attitudes to more positive perceptions and, consequently, to greater support for student learning. When schools, communities and the private sector join together to coordinate resources so that students achieve academically, this combined power accordingly increases opportunities for communities to elevate their own standards of living through their children's successes.

Established organizations such as Cities in Schools and Communities in Schools have been instrumental in coordinating community resources in support of schools, and recently another organization has taken the lead in reaching for this new vision. It is Community and Economic Development through Student Achievement

(CEDSA), a unique nonprofit, managed project whose goal is to assist low achieving schools in the neediest communities complete a five-year leadership program for facilitating school improvement through community development. Currently underway in schools in Los Angeles and San Francisco, the CEDSA project serves as a vehicle to coordinate resources in the private and public sector in support of the development and implementation of effective school programs. According to Kent Stephens, who heads this project, schools are in the best position to lead their communities out of poverty and social decay. From this previous work with hundreds of school restructuring projects, Stephens asserts that when students achieve, incidents of violence, substance abuse and social issues (such as a AIDS, gang assaults, school dropouts, all of which impede prosperity and kill a nurturing environment), decrease in direct proportion to the elevation of student achievement. "Student achievement," says Stephens, "is the one school parameter that directly addresses the environment necessary for prosperity." By creating a mechanism through which major public and private sector organizations can collaborate with these schools, projects like CEDSA offer promise of authentic transformation of the community through its children's successes in school.

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Appendix A

San Juan Unified School District: Alliance for Excellence

Encina High School
Jonas Salk Middle School
Cottage Elementary School
Creekside Elementary School
Dyer-Kelly Elementary School
Greer Elementary School
Howe Avenue Elementary School
Thomas Edison School

Goal:

- Education equity for all students, teachers, and school to ensure significant academic learning.

Motto:

- Collectively we are successful.
- Individually we are overwhelmed.

Underlying Principles:

- Development of a rich, meaning-centered, thinking curriculum that is delivered through powerful learning experiences and contains high expectations for all students.
- Commitment to key philosophies:
  - All Children Can Learn
  - Early Intervention
  - Focus on Student Success
  - Accelerated Learning
  - Integrated Curriculums
- Development of collaborative models and partnerships:
  - Among Teachers
  - Among Teachers and Administrators
  - Among Schools
  - With Businesses and Service Clubs
  - With Institutions of Higher Learning
- Coordination of preschool through adult programs/services within and between the alliance schools — and with social services, law enforcement, health, safety, and recreation agencies serving our community.
- Provision of teacher training and staff development to increase the level of success with the changing clientele being served.
- Involvement of parents in school and alliance decisions; parent education and training; the provision of resources to schools and students; and home/school partnerships.
- Development of district and school organizational structures that support site level shared decision making among administrators, teachers, staff, parents, and community.
- Appreciation and awareness of the diverse cultural, ethnic, and religious backgrounds of the students being served.
- Incorporation of technology into the instructional program.
- Commitment to the whole child — physical, emotional, intellectual, cultural, and social.

APPENDIX B

Writing a Mission Statement

STEPS

1. Have the site leadership team identify the mission statement team (MST).
2. Convene the mission statement team.
3. Agenda:
   - Give brief overview of process
   - Brainstorm ideas on why your school exists
     - Record on butcher paper
     - Use the statement: "The purpose of the school is _____"
   - Hold a discussion on what was brainstormed
   - Set priorities for the items brainstormed
   - Form a subcommittee — two or three persons — to write the mission statement
4. Set deadline date.
5. Set date for next meeting (or a date when the draft of the mission will be mailed to the participants).
6. Reconvene MST (or solicit phone responses).
7. Review mission statement.
8. Edit statement.
9. Finalize statement.
10. Pass out to staff and receive conceptual agreement of the mission statement.

Steps for Writing a School Mission Statement

1. Convene the committee, designate a chairperson or specify the process by which the chairperson will be selected when the committee meets.

2. Prepare the room and provide equipment and supplies, including an easel with large sheets of paper (or the equivalent) and felt tip marking pens.

   Suggested agenda for the committee's first meeting:

   - Welcome and introductions
   - Purpose of the meeting and the agenda
   - Brief overview of the C-LERN process
   - Brief review of the mission statement development (or revision) process
   - Brainstorm ideas about *why* this school exists
     (These ideas should be captured on large sheets of paper for display during subsequent discussion.)
   - Discuss ideas presented during brainstorming
   - List ideas in order of priority
   - Form a small subcommittee to draft a statement or revised statement, if needed
   - Set a deadline for a report on the draft
   - Decide on the next meeting date, time, etc.
   - Review the accomplishments of this meeting, evaluate the process and make needed adjustments
   - Adjourn

3. When the subcommittee has completed its task, copies of the draft should be distributed to each committee member with a solicitation for comments and prompt response to the subcommittee. (Responses may be made by phone, in person, or in writing.)

4. The subcommittee revises the draft statement in view of the comments received and again distributes its report in preparation for a meeting of the full committee.

5. The committee reconvenes to review and discuss the subcommittee's report on the mission statement. (If possible, the task will be completed following discussion and editing at this meeting. If necessary, the process will be continued until consensus is reached and the committee is prepared to report to a meeting of the school community.)

6. The School Community is convened to review and discuss the new or revised mission statement when the committee has completed its work.

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Sample School Mission Statements

DYER KELLY ELEMENTARY SCHOOL

The belief of the Dyer Kelly staff is that all students can learn. Each student is offered an education that emphasizes the basic skills of mathematics, reading, and writing skills enabling students to become productive members of society. Students are encouraged to develop a positive self-image and be responsible for their actions.

The school motto is:

- I am a valuable person.
- I am proud of my accomplishments.
- I can succeed.

DELANO JOINT UNION HIGH SCHOOL

The mission of the Delano Joint Union High School District is to promote the educational success of all students by demonstrating high expectations, a commitment of excellence confirming the belief that all students can achieve at their fullest academic potential and become responsible, productive members in a competitive and multiethnic society. Specifically the Delano Joint Union High School District shall endeavor:

1. To foster an atmosphere that rewards collegiality and is based on a team approach as its highest priority.
2. To actively support the belief that all students are winners and are capable of learning.
3. To recognize the talents and expertise possessed by employees, thus fostering an organizational spirit that encourages their valued input and contributions toward student success.
4. To promote activities that foster and encourage involvement of multiethnic community resources supporting the mission of the Delano Joint Unified High School District.

GLENWOOD

The purpose of the Glenwood School Community is to provide every student with a challenging educational program which develops and nurtures self-esteem, intellectual curiosity, independent thinking and, in the process, creates a happy and productive citizen.

MADRONE

The Mission of Madrone Continuation High School is to provide a positive educational experience for the "at risk" student and the opportunity to foster the key developmental issues essential to becoming a totally integrated individual in a changing society.

- Therefore: Students will be drug free.
- Therefore: Students will be held accountable for their actions.
- Therefore: Students will be considerate of others.
- Therefore: Students will prepare for present and future employment.
- Therefore: Students will build self-confidence and self-esteem.
- Therefore: Students will remediate and improve academic skills.
- Therefore: Students will be exposed to a variety of experiences to enrich their lives.

BLADENSBURG HIGH SCHOOL

The school community of Bladensburg High School believes that all students can learn. They can acquire the work habits, skills, and knowledge which will enable them to become valuable and productive members of society. We believe this to be true regardless of their previous academic performance, socioeconomic status, race, or gender. Accordingly, the purpose of Bladensburg High School is to provide quality educational programs designed to offer the student the opportunity to turn academic and occupational self-potential into reality in today's changing society.

To achieve this mission, we are committed to:

- Providing a safe, orderly, inviting school environment.
- Presenting a varied and challenging curriculum.
- Maintaining high expectations.
- Establishing continuous home-school communication.
- Monitoring student progress frequently.
- Providing direct counseling support through the services of the guidance department.
- Preserving the de-facto counseling services inherent in the teacher-student relationship.

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Therefore Statements

The site leadership team (SLT) will be active throughout all phases of the process. It will determine how the school's mission (as stated by the mission statement committee) will be accomplished and oversee the implementation of these plans.

In phase 1, the SLT begins to "operationalize" the mission statement through "therefore statements." For example:

The mission is to provide high quality education to each of our student,

- Therefore: The classroom is the most important aspect of our school.
- Therefore: Our limited resources should be focused on the classroom.
- Therefore: Classroom interruptions must be kept to a minimum.

Therefore statements, in other words, begin to extend the mission to its logical application. They create a starting point for determining how the mission will be achieved.

Writing "therefore statements" provides an opportunity for refining personal and collective commitments to the improvement of the school. This exercise will begin to open a vision of what the school can accomplish when there is consensus in the school community over how change will be accomplished and who will be accountable for each portion of that change.

APPENDIX C

Samples of Selected Critical Issues Analyses Based on
SAGE Analytics International, Inc. Interactive Process

HIGH SCHOOL SAMPLE

Root Cause: Inadequate counseling advice.
Leading To: Student's lack of appropriate academic entry level skills.
Leading To: Inappropriate expectation level of students by some teachers.
Leading To: Reluctance of some teachers to adapt their instruction to student needs.
Leading To: Deficiencies associated with the instructional process at _____ High School.
Leading To: Failure of the mission.

MIDDLE SCHOOL SAMPLE

Root Cause: Failure to establish consequences for rule violations that act as deterrents to violations.
Leading To: Failure of administration to overcome attitude that rules are impossible to enforce.
Leading To: Failure of administration to provide a clearly defined, effective, and enforceable discipline policy.
Leading To: Failure of administration to enforce rules in a consistent manner, e.g., not expelling a student for weapons or drugs on campus.
Leading To: Failure of administration and teachers to enforce effective student discipline.
Leading To: Inappropriate student behavior and attendance.
Leading To: Deficiencies associated with the learning environment.
Leading To: Failure of the mission.

ELEMENTARY SCHOOL SAMPLE

Root Cause: Students lack of basic skills to enable them to achieve at a high expectation level.
Leading To: Previous experience by teachers of student inability to achieve at a high level of expectation.
Leading To: Inappropriate expectation level by teachers.
Leading To: Lack of students' self-esteem.
Leading To: Lack of student motivation toward higher achievement.
Leading To: Inadequate student support for positive change and improvement.
Leading To: Deficiencies associated with commitment and support or positive change and improvement.
Leading To: Failure of the mission.

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SAMPLE APPLICABLE TO ANY SCHOOL LEVEL

Root Cause: Failure to solicit site staff input in determining course of action affecting site.

Leading To: Lack of district awareness of impact of administrative decisions on classrooms.

Leading To: Failure to accept substantive input from the site.

Leading To: Ineffective district leadership in the implementation of new programs to meet the unique needs of the school.

Leading To: Inadequate district level support.

Leading To: Inadequate board and administrative support.

Leading To: Deficiencies associated with commitment and support for positive change and improvement.

Leading To: Failure of the mission.

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APPENDIX D

Sample School Intervention Plans

Intervention Plan A

INSTITUTE STRAND: *Parent*

PERSON RESPONSIBLE: _____ **TELEPHONE:** _____

DISTRICT: _____ **SITE:** _____

CRITICAL PATH: *Parent Involvement*

STEM AND ROOT CAUSES: *Inadequate results from past attempts to involve parents*

PRIMUS GROUP: *Parent/Community Interactions* **INTERVENTION EVENT:** _____

PRESCRIBED CORRECTION: *Informational and Recruiting Meeting for parents involve parents in primus groups.*

TIMELINE:

TASK What is the Activity?	TALENT Who is Responsible?	TIME What is the Timeline?	COST What are the Costs?	RESOURCES What Resources Have Been Identified?
Phone/letter of invite to parents	*Christy, Brenda*	*June 26*	*Postage, secretary time*	*computer copy machine, addresses, envelopes*
List of parents to invite	*SLT*	*June 23*	*zero cost*	*parent list*
Phone calls to Asian parents	*Cherel- contact Liew*	*Aug. 7*	*Aide time*	*phone numbers - message to be read*
Parents Meeting	*Cherel, Dennis, Brenda*	*Aug. 14*	*Refreshments*	*babysitting, handouts,*
Informational letter to all parents	*Dennis*	*Back-to-School Night*	*secretary time copy machine*	*computer, visuals, overheads*

FOLLOW-UP/EVALUATION: What method of evaluation will be used to measure success? (Be sure individual tasks are also listed above Time line.)

1. *Parent Attendance at Meetings - Increase in P.I.*
2. *Parent feedback*

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Intervention Plan B

GROUP #: 4

MEMBERS: *Joan, Simone, Nancy, Helane, Cindy, Jeanette, Liz, Colette, Tom*

Supervision/Communication

ROOT CAUSE #: 40

ROOT CAUSE: *Inability to see change as a positive effect on staff's role*

RECOMMENDED INTERVENTION STRATEGY: *Continue commitment to C-LERN process*

ACTION PLAN AND TIMELINE:

How will it happen?	When will it happen?	Who is responsible?	What resources are needed?
Participation by all staff	*Currently happening - to be continued*	*Staff, parents, community, students*	*Release time*

EVALUATION PLAN

CRITERIA FOR EVALUATION (What will demonstrate success?): *Implementation of intervention strategies*

EVALUATION METHOD (How will we evaluate the results?): *Surveys*

WHO IS RESPONSIBLE FOR THIS EVALUATION?: *Site Leadership Team*

WHEN WILL THE EVALUATION BE CONDUCTED?: *Ongoing*

Intervention Plan C

GROUP #: 4

MEMBERS: *Joan, Simone, Nancy, Helane, Cindy, Jeanette, Liz, Colette, Tom*

Supervision/Communication

ROOT CAUSE #: 23

ROOT CAUSE: *Lack of an administrative system to hold teachers accountable for actual gains in learning that go on in the classroom.*

RECOMMENDED INTERVENTION STRATEGY: *Have trained onsite substitutes to lessen disruption of students' learning process.*

Regular teachers are asked to attend many curriculum meetings called by district office.

Substitutes would be trained by departments to familiarize them with department curriculum.

ACTION PLAN AND TIMELINE:

How will it happen?	When will it happen?	Who is responsible?	What resources are needed?
District to develop process to implement	*Sept. 1990*	*Personnel and specific dept. person for selecting persons*	*Funding for 2 days of training for each sub to become familiar with specific subjects*

EVALUATION PLAN

CRITERIA FOR EVALUATION (What will demonstrate success?): *Lesson plan followed completely*

Consistent learning process and continuity while regular teacher is absent

EVALUATION METHOD (How will we evaluate the results?): *Students progress in class*

WHO IS RESPONSIBLE FOR THIS EVALUATION?: *Regular classroom teacher*

WHEN WILL THE EVALUATION BE CONDUCTED?: *Quarterly*

Appendix E

Collaborative Model for Team Leadership Roles*

Facilitator:	Manages group: plans agenda, keeps group focused, encourages participation, clarifies and summarizes group's work and decisions. Is nonevaluative and neutral. Models values of collaboration and consensus.
Recorder:	Creates a group memory by writing down what is said on a chart clearly visible to the team. Prepares and distributes record of team's work following meeting.
Timekeeper:	Watches the time for the group and informs it of time blocks according to specifications, i.e., end time period for discussion or approach of end of meeting.
Team Member:	Responsible for participating in team meeting, adhering to group process rules agreed to by group, listening to other members, honoring team decisions.
	Specifies time periods, including warning notices, about end of discussion period. May be done on chart paper or chalkboard to provide visual.

*Note: These roles often, and should, rotate among team members so each person becomes actively responsible for sharing team leadership.

APPENDIX F

Sample Meeting Agendas and Preparation Checklist

SUGGESTED INITIAL ORIENTATION MEETING AGENDA

- Introduction of persons unfamiliar to participants.
- Review of agenda and group process.
- Review of criteria and conclusions school reached to determine participation in the reform process.
- Explanation of the change process.
- Discussion period.
- Composition, selection, purpose, and role of site leadership team.
- Summary of the meeting.
- Planning for next steps.
- Announcements and handouts.

MEETING PREPARATION CHECKLIST

- ☐ Location suitability: parking, security, illumination, physical climate, condition, seating.
- ☐ Room accessibility and size: too large, too small.
- ☐ Equipment and supplies: easel, chart paper, chalk, overhead projector, graphs, charts, data tables, etc.
- ☐ Display materials: posters, signs, etc.
- ☐ Room conducive to discussion: table and chair arrangement, location of windows, and visibility.
- ☐ Support staff: security guards, custodians, child care personnel.

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TRANSFORMING

SCHOOLS

Finding Success for Students At Risk
Through Systemic Change

offers specific steps
for large scale change within school communities.

Written by Dr. Shirley A. Thornton, California
Deputy Superintendent of Public Instruction,
and Dr. Bonnie Spiesberger, Educational
Consultant, *Transforming Schools* builds on
the experiences of 75 California schools that
challenged the educational status quo.
These two leaders in school reform offer the
reader a philosophical base as well as practical
strategies for guiding school communities
through the change process.

Transforming Schools is critical reading for
all educators, parents and community members
wanting to improve their school systems,
especially for students at risk of school failure.

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